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ABSTRACT

The Appalachian Consortium was evaluated as an organization for the dissemination of educational information regarding programs for the early identification of preschool handicapped children. Chapter I provides a historical overview and discusses the Consortium's independence from the Appalachian Educational Laboratory. The chapter also indicates the involvement of Elsbery System Analysis, Ltd. as a formative evaluator and describes the reasons for changing evaluation designs. Chapter II (Diffusion Strategy as Implemented) presents data and information showing the degree of Consortium and State-by-State commitment to the plan. An analysis of both types of commitment is presented along with additional information and analysis related to Consortium independence. Chapter III (The Dissemination and Diffusion Plan) presents the results of a literature review in the field of diffusion and dissemination as it applies to education. This information is presented in the context of comparing what is believed to be known about establishing working diffusion and dissemination models, to the models presented in this report. Finally, recommendations are made regarding program administration and sources of funding. Extensive appendices include: (1) a description of the evaluation design; (2) a letter to the Executive Director of the Consortium; (3) tables; (4) interview questionnaires; and (5) a 34-item bibliography. (Author/CTM)

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FINAL REPORT
APPALACHIAN CONSORTIUM

EVALUATION OF A DISSEMENATION AND DIFFUSION DESIGN

TM007 509

ELSBERY SYSTEMS ANALYSIS, LTD.

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EXECUTIVE SUMMARY

The Appalachian Laboratory prepared a "Dissemination and Diffusion" document and employed many of the techniques in that document in developing and attempting to disseminate and diffuse its own products. When the Laboratory found that it needed political help to maintain or increase its funding or get support for a given product, it was able to win the assistance of its board of directors. The Board of Directors being made up of chief state school officers of the Appalachian states formed a consortium to:

1. disseminate and diffuse an Appalachian Education Laboratory, (AEL) product;
2. to eventually become self sufficient.

The Consortium was headed by one of the major executive's of the Appalachian Laboratory. The Consortium was housed on Laboratory premises. The switch board through which one calls in reaching the Consortium was manned by an AEL staff person. All Consortium costs were shared by the AEL. The initial product to be disseminated and diffused was a Laboratory product. Even Consortium bookkeeping was apparently carried out and paid for by the AEL.

All of the above would be appropriate if what the State Departments of Education were doing was for the benefit of the Laboratory rather than seen as essential to the individual States, or the Consortium. Thus, whether intended or not, the Consortium was wed to the AEL. The Consortium could have altered the arrangement, but did not. In essence, the Laboratory directly and indirectly was in control of the Consortium, through funding, and the directorate.

Eventually, the Consortium was funded by the Information Communication System Division of the National Institute of Education (NIE), as a project conducting a dissemination and diffusion program. The Consortium dissemination and diffusion plan, originally designed by the Laboratory was altered. The information Communication System (ICS) project officer requested that consultants be brought in so that they might review the Consortium and determine its viability.

The Consortium staff and the Board of Directors accepted both the request and advice of the specialists with regard to changes in the original dissemination and diffusion plan. The plan as revised, incorporated the State Departments of Education through agents selected by the chief state school officer, or his or her designate, State Advocates. A gatekeeper of the local educational agency was also established, the Local Advocate. Each of these chosen status levels was to have several things in common: both were to have strong ties to the key implementors within their respective organizations; they were to have significant functions with regard to the final product itself; they were to have strong ties to those responsible for making budgetary decisions and ties to those who determine the goals and objectives of the system. Besides having these features in common, the State and Local Advocates were to be strong supporters of the concept, innovation or product.

The Consortium was to bring these forces together in developing the Early Warning Signs or explaining its new product by:

1. educating persons to possible danger signals of retardation;
2. having Consortium staff assist in revisions of Early Warning Signs (EWS) plans, materials and/or dissemination and diffusions through

> utilization of State and Local agencies capacities to reach intended audiences.

Besides these techniques and strategies, it was to be the function of the Consortium to prepare brochures and other materials or strategies that could be employed by the Consortium individual states or both in carrying out a given dissemination and diffusion plan.

The plan as finally designed was to develop a general brochure, radio and television tapes, and develop general procedures. All of these, from brochures to television tapes, were so designed that the individual states could, if they desired, add personal messages, information and addresses. There were a number of sessions where state representatives were able to question consortium staff persons with regard to all areas of development and implementation of the plan. All possible procedures and combinations of activities that might or could reach the intended populations were discussed, e.g. methods for reaching doctors' offices, parent organizations and health centers. In general, the Consortium was introducing the States to techniques of reaching audiences that were not generally reached in interacting with local educational agencies or ancillary groups. Throughout, the Consortium made itself available for purposes of consultation.

All evidence and data gathered by Elsbery Systems Analysis, Ltd., the evaluator, regarding the actual State implementaiton of the plan indicated: (1) that the performance of the States was differential, but that (2) the D&D plan was an effective one. The differences found among and between States was due not to the plan or Consortium staff effort, but to the degree of commitment found among the States. Particularly noticeable was both the differences in State commitment and the negative affect of the absence of or limited involvement of Local Advocates early in the program.

However, what was apparent was the fact that the Consortium's dissemination and diffusion plan worked pragmatically. Differences found ranged from high commitment and high performance, to poor or low commitment and poor performance. Yet, the quality of potential dissemination and diffusion was high because of the design and implementation of the Consortium plan by its staff.

Analysis of bibliographic research indicated that the design clearly conformed to what research indicated would result in an effective design. The review and comparative analysis, revealed that the Consortium as a dissemination and diffusion model was a newer form than any existing models and was closer to an educational system, planned change D&D model, than the Research and Development Centers. What was also revealed was that existing research is not written for or disseminated and diffused so that it can effectively be employed by practitioners in their planning and development and adoption of programs.

Finally, ESA's data collection and analysis revealed that the financial and organizational structure of the Consortium was such that it would have been difficult if not impossible for the Consortium to have developed independence from NIE and/or the Appalachian Laboratory. These structures and the general attitude of the States making up the Consortium resulted in the ultimate demise of the Consortium, but not before it was able to show that its dissemination and diffusion design could work.

The evaluator made the following recommendations based on the findings and analysis of the two year study: (1) have a single funding source for a minimum of three to five years at a diminishing annual rate for any similarly designed project; (2) the project should include a third party evaluation; (3) any product employed should be exclusively determined by the Consortium; (4) it was also recommended that the ICS division of NIE find a method to effectively and efficiently disseminate and diffuse research finding as related to this given field. Finally, as a fifth recommendation, it was suggested that one begin to analyze the relationship between the existing D&D models, the development of new ones and their relationship to planned change from within the formal education system to planned change models outside of the formal system.

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2. "CONSORTIUM OF STATE DEPARTMENTS OF EDUCATION AS A DIFFUSION STRATEGY"

B. LETTER TO: MR. ROB ROY WALTERS

C. TABLES

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INTRODUCTION

The intent of this document is two fold. First, it is to give a historical accounting of both the development of a diffusion and dissemination plan, and the Consortium which came into being with the plan as its first funded project. Thus, one issue relates to the degree to which the Consortium intended and/or became independent of the National Institute of Education (NIE) funding; and the extent to which the State Consortium became a self-sustaining entity.

Second, the intent is to evaluate the diffusion and dissemination plan itself. This objective is far more intricate and complex because one must analytically evaluate the design and relationship to existing bibliographic and existing research in the field. However, it only indicates what authorities maintain should work or has worked elsewhere. In no way does it determine if the product under analysis will be effective or not. Implementation is, at least, a key factor.

Clearly, the implementors can make a potentially effective plan fail, or a relatively ineffective one succeed or come close to succeeding. Here all three must be viewed:

(1) the Plan; (2) the Consortium's function and role, and (3) the function and role of the States making up the Consortium membership.

Throughout, this document is written in lay language, and the types of analysis and terms employed are related to terms and experiences that the average educator will comfortably understand. It is maintained, however, that the content is equally relevant to those who have a special interest in diffusion and dissemination, whether or not they are educators or are in the field of dissemination and diffusion.

This document does not indicate any ultimate success of this project in terms of numbers of parents and others reached, and number of physical and other type of examinations given to young children. The delay in the project's starting date made such an effort impossible, but in no way does such information alter the findings or general conclusions. It is recognized, however, that at some future date a comparable study should be funded which permits such information to be gathered.

Chapter I (Historical Overview) is a historical overview with aspects of Consortium independence analysis. The chapter also indicates the involvement of Elsbery System Analysis, Ltd. as a formative evaluator and the reasons for changing evaluation designs.

Chapter II (Diffusion Strategy as Implemented) presents data and information showing the degree of Consortium and State-by-State commitment to the plan. In this chapter, an analysis of both types of commitment is presented along with additional information and analysis related to Consortium independence.

Chapter III (The Dissemination and Diffusion Plan) presents the results of a bibliographic search of the field of diffusion and dissemination as it applies to education. This information is presently in the context of comparing what is believed to be known about establishing working diffusion and dissemination models, to the models presented in this report.

The final section of Chapter III is an analysis of findings in accordance with predetermined objective capable of being maintained after the shift in Consortium, itself.

Finally, the chapter closes with a series of recommendations. The Appendices include: (A) Evaluation Designs; (B) Copy of a letter to Mr. Rob Roy Walters, Executive Director of the Consortium; (C) Tables; (D) Questionnaires and, (E) Bibliography.

CHAPTER I

HISTORIAL OVERVIEW

CONSORTIUM

HISTORICAL OVERVIEW

Introduction

In this section, the purposes are to show: 1) the establishment of the Consortium of Appalachian States; 2) its relationship to the Appalachian Education Laboratory (AEL); 3) its diffusion plan in relationship to laboratory products; and 4) its capacity or drive to establish independence or autonomy.

SECTION I

Consortium's Precedents: "Reasons for Being."

In 1967, the AEL began to develop and test a Home Oriented Pre-School Eduction (HOPE) program designed to alleviate the educational deprivation endemic to three-year, four-year, and five-year old children of the Appalachian Region. The HOPE program identified those constructive experiences most essential to the stimulation of the child, then designed specific activities through which the required experiences might be gained. The program was to bring to the child's environment, a delivery system incorporating television lessons, parental instruction, printed materials, paraprofessional home visitors, and interaction with a peer group under the supervision of a professional educator.

The philosophy of the HOPE program questioned the advisability of removing very young children from the security of their familiar home environment and proposed instead that it might be more profitable to provide for the effective involvement of parents as the child's first and most important teacher.

Also, basic to the HOPE program was the belief that through an interlock of existing capabilities, both public and private, and through the implementation of the HOPE process, it would be possible to create a new educational structure capable of delivering in to the home environment a carefully prescribed set of constructive experiences which would produce measurably improved growth at a cost acceptable to society.

At first glance, the barrier to success for a program of pre-school age children in the region appeared insurmountable. First, there were both statutory and constitutional provisions governing expenditure of school tax monies in the Appalachian states which either prohibited or severely restricted the funding of pre-school education. Second, no State in the region required five-year olds to attend kindergarten programs.

Several important questions had to be asked. Given rural and mountainous regions, could small children be transported great distances safely and with the consent of their parents? Would small children walk long distances to predetermined bus pick-up points? Could the school tax support pre-school activities? If all of the questions were answered affirmatively then there would not be a problem. (The problem that had to be resolved was the one of designing a pre-school program tailored to the particular needs of the region's children and delivering the program to the children via an innovative system which overcame these barriers).

The AEL tested a program for six years designed to meet the particular needs of the Appalachian Region. The Laboratory also developed and tested a program delivery system for a period of years. The program and the delivery system were developed in cooperation with the public school system as well as with many other agencies, institutions and individuals.

There were serious obstacles to the region-wide implementation of any program. The HOPE program in particular was under severe financial limitation when developed. The program's one-half hour daily television lessons were produced in black and white, utilizing inadequate studio facilities and amateur talent. Regional television stations were reluctant to accept a black and white show of poor technical quality, even if the program's substance was superior to a similar color show. This fact precluded a region wide delivery. Without help, HOPE or its offspring could not succeed. The AEL Management saw the Consortium as a potential answer.

Consortium Inception.

The Consortium made up of seven Appalachian States was expected to use its influence within the respective States, ban together to raise funds from Federal or other sources and use its combined political influence to help support AEL efforts. Certainly, the Consortium was seen as a possible salavation for HOPE, or its off-spring.

Work on the development of the Consortium of State Departments of Education in the Appalachian Region began on June 30, 1972. In the early stages of work on the Consortium, a decision made to limit the number of State Departments to be involved in the seven Appalachian States from which the membership of the AEL was drawn: Alabama, Kentucky, Ohio, Pennsylvania, Tennessee, Virginia and West Virginia. [1]

In May, 1973, a Consortium meeting was held in Washington, D. C. for the purpose of electing the organization's officers and reviewing program progress to that date. Participants included Chief State School Officers, their Administrative Representatives to the Consortium, Corporate Members, State department program sepcialists, and AEL members.

Through correspondence with the Chief State School Officers of the prospective member States, and through a telephone conference call in which all the principals participated, another exploratory meeting was scheduled in Washington, D. C. in June, 1973.

Participants in the June meeting included the Chief State School Officers of the seven prospective member States or their Assistant State Superintendents and AEL staff members. A board agreement was reached at this June, 1973 meeting and the group decided to move forward.

[1] By 1975, that decision was revoked.

The Consortium was designed to create a bridge between a Research and Development Institution [(AEL, their products, and the educational system which could utilize the R & D products. (LEA's)]. The Consortium was also to serve as mechanism to facilitate input from the potential users of products into the development work of the R & D. The AEL's HOPE or any offspring it might develop was to be a "trial horse" in an effort to bridge the gap between R & D and the educational system.

The problem of financing the operating of the Consortium was solved when the NIE expressed an intent to fund the Consortium through June 30, 1975.

A minor problem had to be worked out, the HOPE program developed and tested in the Appalachian Region was designed for the "normal" pre-school Appalachian child and parent. No particular attention was given to providing for the needs of handicapped children. This would have to be corrected in the second generation of HOPE programs, the offspring.

The Consortium's Diffusion & Dissemination Plan

In time, HOPE was replaced by the Marketable Pre-school Educational Program (MPEP) when the funding for HOPE was drastically reduced from $3.7 million to $0.385 million. MPEP products were: two half-hour videotaped lessons produced at WLAC (a studio in Nashville, Tennessee) entitled "The Puppy House," and "Guess What?"; sixty scripts for half-hour lessons; a home visitor guide; a parent discussion guide; a classroom learning activities file; a home learning activities file; and discussion guides.

As stated earlier the product direction had been moving towards the handicapped pre-school child or potentially handicapped population. What is of note is that at this time, the Consortium was not viewed as a self contained entity to become independent, but to further the interest of the AEL. Finally, at this stage, it was not viewed or seen as a dissemination and diffusion mechanism in the sense that was to develop later, but rather a political arm of the AEL. Yet, it was to function a conduit of information or influence.

In interviews, the Consortium's first Executive Director, Rob Roy Walters, indicated aspects of the Consortium's early history which are relevant here.

Mr. Walters explained that the AEL went to the United States Office of Education with a proposal to develop a Consortium that would provide more concerted political strength and direct ties between the highest State officials and the AEL and help identify regional needs. Mr. Walters saw Consortium members as being involved in the formative evaluation of AEL output.

One can infer from this, that, the concept of the Consortium grew out of the AEL and not the State Departments of Education. The Laboratory received $200,000.00 and the scope of work required writing a guide on how to develop a Consortium and the establishment of three demonstrations of the MPEP program. Walters talked of calling the State Superintendents together and getting the direction that there should be a study of consortiums. This was done as a fact-finding mission, i.e., the gathering of information on existing consortiums to enable the Laboratory to put together the most efficient consortium to fit the needs and particular design it had in mind. Again, it is relevant to note that even at this point, the Consortium was not seen or thought of as a dissemination and diffusion model.

Prior to November 22, 1974, the programmatic efforts of the Consortium of State Departments of Education in the Appalachian Region had focused upon preparations for the delivery throughout the Appalachian Region of the daily television lessons and related materials scheduled for production by the MPEP staff. On November 22, NIE determined that it would not fund the MPEP proposal because it lacked sufficient persuasive merit. It would not be funded at a level which would permit the production of the television lessons, and it became necessary for the Consortium to focus its diffusion mechanism upon an alternate R&D product from HOPE to MPEP, and finally, to the Early Warning System.

In terms of all that has been presented to this point, diffusion or dissemination in any conceptual or pragmatic model form was not the priority or intent of the Consortium. All evidence indicates a preoccupation with Laboratory needs and ultilization of political muscle on its behalf on projects of significance to the Consortium states. At no time until the end of 1974, do we begin to hear of diffusion and dissemination model mechanisms being the primary focus rather than a means to an end, the end being to still achieve the Laboratory's intent of getting its products funded and disseminated. Note that until the EWS, all Consortium activities were directed towards Laboratory products. Initially, the diffusion plan was established by the AEL for Laboratory products utilized by the Consortium.

Although, there was a substantative move from one product or concept to another, it was maintained by the Consortium that its diffusion plan was a model and as such was readily adaptable to any product.

The Consortium Takes Over

Now, the Consortium began to become involved directly with its diffusion plan. The consortium, at NIE urging, called in two diffusion and dissemination consultants to revise and rewrite its plan and model. The Model included State and Local Advocates and called for their training. Funds did not exist, however, for advocate training and this aspect of the plan was abandoned. By now, the consultation had developed a diffusion and dissemination model. The model was ready. It had been based upon much bibliographic research and utilization of limited, but known research. (See Chapter III).

The Diffusion Plan (revised) of the Consortium of State Departments of Education in the Appalachian Region, Contract No. NIE C-74-0059, submitted to NIE, July 20, 1974, states:

> "Although this Diffusion Plan is product specific in that it is currently keyed to MPEP, and to Consortium Member State Departments of Education, the diffusion mechanism proposed in the plan is generalizable to any R & D product and can be adapted to fit the varying organization patterns of other state educational systems."
>
> The MPEP had as its program objective:
>
> "To make available a pre-school education program which will: (a) utilize existing public and private television transmission facilities, paraprofessional home visitors, and group experiences to deliver the program; (b) involve and assist the parent in the instructional role; (c) encourage multi-district and multi-state planning, funding, and implementation, and (d) be more cast effective than the traditional classroom approach."

The Final Product: "The Early Warning System"

As stated, the MPEP which had initially been funded by the NIE was rejected for refunding. This meant that the Consortium, which had devised its diffusion model with the AEL's MPEP in mind, had to develop a new product. The Consortium reached back to an earlier Laboratory Pre-school Program. It was revised and renamed Early Warning System (EWS). The concept for such a program came from within the Consorium, itself. The Consortium Board of Directors at its September, 1974, meeting gave its approval to the development of a proposal that involved the early identification of pre-school handicapped.

Staff members had a working proposal ready for the board members to go over. It was also decided that the proposal was not to be tied to AEL as in the case of the MPEP. The EWS was clearly to be a Consortium product.

The Special Education Task Force of the Consortium agreed to designate six broad categories of potential handicapping factors with warning signs under each category. This six categories were: hearing, seeing, talking, moving, thinking and playing. Under each category there were five observable signs. A brochure was designed to create awareness of possible problems that children might have.

A State Advocate Task Force reviewed the work and developed a plan enabling each state to disseminate the set of early warning signs to parents as broadly as possible. There was to be an overall dissemination plan along with individual state plans.

Summary & Consortium Independence

In the process of presenting a history of the establishment of the Consortium and the changes in the product to be disseminated and diffused, this evaluation report has been presenting information regarding the intended independence of the Consortium. It is apparent that the Consortium began as an idea to further the interests and needs of the regional AEL. The executive staff salaries were paid by both the AEL (one-half), and the Consortium members (one-half). The original idea for the Consortium appears to have been that of the first Executive Director, Mr. Rob Roy Walters.

Mr. Walters happened, at the time, to be one of the primary executives of the Laboratory.

The support staff, such as evaluators and product directors, were all AEL personnel. The quarters employed by the Consortium staff were on the premises of the AEL. When one called the Consortium, the call went through the AEL switchboard. Finally, the initial members of the Consortium were all from the AEL's Board of Directors. Perhaps, of equal if not greater importance, is the fact that in the beginning Consortium members indicated that membership size was not to increase, but to exclusively incorpoate only the seven original Appalachian States.

Through correspondence with the Chief State School Officers of the prospective member States, and through a telephone conference call in which all the principals participated, an explantory meeting was scheduled in Washington, D. C., June 19, 1973. Participating were the Chief State School Officers of the prospective member States and/or their Assistant State Superintendents as well as AEL staff members.

All meetings attended and correspondence indicates that although throught was given to other research projects and the inclusion of States other than Appalachian ones, the emphasis appeared to be on the development of a political power base to influence legislation and funding. The priorities set were not to submit projects to States, foundations, or Federal Government for funding. No effective staff for writing proposals, or answering existing Referrals for Proposals was developed.

Apparently, at one point, Consortium staff discussed such self-development, but, one, the Deputy Director left and the Executive Director left, the Consortium readily once again fell into an existing mold. Even after the first Executive Director left, he was still viewed as the titular head. More will be noted about this and other events later in this document.

SECTION II

The Evaluator

When the Consortium shifted from the HOPE project to the MPEP, the evaluator became part of the historical setting. In early 1974, Elsbery Systems Analysis, Limited (ESA) responded to a Referral for Proposal. The Scope of Work For a Project to Evaluate a State Department of Education Consortium is in the Appendix. As stated in that document, the State Consortium project was responsible for achieving four tasks:

1. to develop a specific work plan which will guide objectives, procedures, and activities for the life of the project (March 1, 1974-June 30, 1975). The plan will identify the substance and content of the specific products to be diffused, target audiences, and channels of communication. In addition, it will specify who is going to do what, when, and to what effect.

   The State Consortium contract states, "Part of the plan will include a provision fordata collection by the outside evaluation contractor";

2. to determine and describe exactly how specific R&D products will be disseminated, to what Local Education Agency (LEA) sites, and through what specific channels. It appears the R&D products will be in the area of early childhood education and special education. Also, the description will indicate what the operative structure of the consortium is;

3. to develop an implementation report which will present the initial outcomes of the try-out of the Consortium structure as a diffusion mechanism and will focus on the process of delivering information;

4. to prepare a final report summarizing project goals, activities, problems, and results.

One page later, the Scope of Work required that the evaluation study provide information on the:

1. impact and viability of the State Consortium in, and of itself;
2. processes which might possibly be applied to other States;

Potentially relevant dependent variables include, as a minimum:

1. impact of dissemination activities on LEA's;
2. influence upon R&D agendas;
3. autonomy of the State Consortium.

The evaluator submitted an evaluation design in early 1974. The design was accepted and the contract to evaluate consummated. The design indicated that the process of diffusion as well as the effects of diffusion were to be evaluated. To accomplish this an understanding of the problems involved in implementation was necessary. It was stated that at the time, the specific diffusion mechanism to be employed in the program had not been determined. Without such information, identification of the product or products to be diffused, target audiences to receive them, and the medium or channels of communication to transmit the information cannot be specified. The evaluator listed four factors that could and would affect the dissemination process.

1. the nature of the product and its costs (financial and personnel requirements);
2. the information contained in the message, its quality and its ability to convince;
3. the way the message is transmitted, the personal or impersonal nature of the medium used;
4. the characteristics of the target audiences selected, their perceived need, their inclination towards change, their ability to introduce change, and generally their position in the educational structure in their local area and the State.

ESA specifically related to the Groffman concept of "front region," "back region," public willingness to do something versus behind the scenes performance and willingness to do that thing. It was initially perceived that the adaption process and the development of Consortium autonomy were the key issues. As of May, 1974, ESA was the evaluator.

Evaluator & Consortium Interaction

The evaluator met with the project officer and other NIE staff, and commenced development of an interview schedule, timetable and "PERTing" of all activities. Interview appointments were established with Consortium personnel and AEL Executives and implementors.

Early in the evaluation project, it became apparent that the Consortium material and time lines consistently lacked appropriate definitions, product orientation and a sense of clear focused directorship and measureable objectives. While the evaluator was carrying out preliminary analysis of reports, documents and interviews, it also became clear that the MPEP product was in funding difficulty. As noted earlier, not knowing what the product was to be, affected the evaluation drastically. There were, however, initially more immediate problems. There was a growing sense that movement was taking place, but it was neither effectively focused nor properly delineated so that common agreement among the Consortium, NIE and the evaluator could take place for common acceptance of terms, direction and product output.

In August of 1974, the evaluator was invited to a Consortium meeting. The results of that meeting were the evaluator's awareness that without strong but hopefully subtle intervention, this project was just not going to move from base zero in the near future. A letter written to Mr. Rob Roy Walters on August 26, 1974, is presented in Appendix B.

The evaluator was now involved in helping to clarify, organize, define and thus aid the project movement. As can be seen and from the problems raised, the issues presented and time lines noted, there was a growing sense that time was going to be at least one major pressing problem in completing the contracted task.

Consortium Staff's Ability to Function Competitively

Events up to this point raised issues related to the Consortium staff's ability to effectively implement its proposal. Clearly, the Director and one other staff person could not effectively do the entire job themselves. See Appendix B. Obviously, the Consortium even at this time could not make it without the AEL, and the States made no moves to alter existing conditions.

In September, 1974, based on more specific information obtained during this initial phase of operation a more refined evaluation design was submitted NIE by the evaluator. The belief and intent was still to evaluate the diffusion plan as applied to the MPEP. It was clear however, that, in addition, a process analysis was required. From the outset the Sam Sieber approach towards determing programer's goals had been intended. All of our efforts, findings and results indicated that only by knowing what the implementors percieved to be important versus NIE or the evaluator would give the necessary information for affectively evaluating both the design and its implementation.

Meetings were held to attempt to determine the priorities and the issues presented, but often a lack of clarity of terms and a growing sense on the part of the Executive Director that the MPEP was in trouble seems to pervade much of the interaction. Finally the MPEP as a product was rejected by NIE, intended time lines passed a new concept, the "EWS" became the project of the Consortium.

Consortium Problems Results in Design Changes & Delays

Additional Evaluation Design Changes

The evaluator also made significant changes in its focus. It was now May, 1975. It was eight months later and more than halfway through the contract period of March 1, 1974 to June 30, 1975. The ESA plan was designed with much flexibility. The changes involved focusing upon institution building rather than project goals as originally intended. "Another major thrust of the evaluative effort was to be concerned with questions of the diffusion strategies."[2]

Unfortunately, the Consortium did not finally begin to move effectively towards its goals until 1976. However, other events over this time period were taking place. Additional States had submitted requests to become part of the Consortium including New York State. The Consortium submitted proposals for funding to other agencies and received some positive responses. The sums however were limited and insufficient to support the Consortium.

Now, the Consortium began to reach beyond the Appalachian region. But soon, the Executive Director, Mr. Rob Roy Walters received an offer for another position and accepted it. During an interim period, the AEL Director, Dr. Terry Eidel assumed the Directorship and then,

[2] See Appendix A. (May, 1975 Evaluation Design)

George Love of the Pennsylvania State Department of Education, assumed acting command.

The information presented has been deemed necessary for the reader to understand the analysis that follow and to have a perspective of events which will allow him to more affectively evaluate techniques, methods, and presentations.

A Look at Consortium Objectives:

There are two main foci to this document, (1) institution building and (2) the reaction of and utilization by member states of the Consortium of the Dissemination and Diffusion Plan.

1) Institution Building

All the evidence presented up to this point, indicates something less than total movement towards institution building as a Consortium objective. Everything indicates, on the contrary, that the States were working together to save the AEL and develop a power base for future needs, but not to develop an institution to rival the AEL, or even stand on its own.

The parent AEL had no great desire for the Consortium to be independent from it. The Executive Director had his salary coming from both the AEL and Consortium, and his move from the AEL to the Consortium did not sever ties as presented material indicates. His move to another position outside the Consortium, thus leaving a vacuum, could only affect the Consortium's capacity to become independent especially since it occured during the Consortium's period of early difficulty.

2) The Diffusion Strategy

The Consortium intended to develop a diffusion mechanism that would work efficiently and affectively regardless of the product, and it is critical at this time that we determine how much, if any, of this design was altered or how much was retained in the process that was decided upon to diffuse the Early Warning System.

The major players in the Consortium plan were to be Task Force members, Local Advocates (responsible for the actual mechanics of the diffusion process on the local level), and State Advocates, concepts developed by the Consortium with consultant help. It was recognized that in disseminating R & D products other than MPEP, the individuals functioning in the status of task force members and local advocates, would probably not be the same individuals selected to function in these roles during the dissemination of MPEP (i.e., if diffusion mechanism was activated for the purpose of disseminating a product having to do with vocational education, then the task force members involved would be the State Director of Vocational Education and Local Advocates might be Vocation Education instructors in the local school). It was intended that the State Advocate function would be filled by an individual having an interest in, and perhaps responsibility for, the introduction of innovations into the State educational system.

The functions of the Consortium Staff and the Consortium Management were to remain constant when other R & D products were introduced into the mechanisms.

As new products were selected for dissemination, there were to be three program objectives: 1) to operate the Consortium in the Appalachian Region as a mechanism to diffuse R & D products; 2) to provide systematic consumer input into the development of selected R & D products; and 3) to cooperate in the evaluation of the Consortium as a diffusion mechanism. The actual fulfillment of the above program objectives fell on the shoulders of all the aforementioned players, task force members, local advocates and State Advocates but the particular player that has probably the heaviest responsibilities is the State Advocate. Because of the importance of this role, and indepth look is warranted.

The State Advocate

The identification and activation of an effective State Advocate in each State education agency was to be crucial to the implementation of the Diffusion Plan. Program resource constraints dictated that this important role be carried out at the expense of the State education agency. The assumption was made that the Chief State School Officer in each participating State would assign the State Advocate and existing State Department employee on a part-time basis. The minimum-maximum time the State education agency would be able to devote to implementing his State education agency role, would no doubt vary greatly from State to State, depending upon the advocate's work load and his degree of interest in this project effort. The amount of time would determine the degree of performance and State commitment.[3]

It was decided that to be effective, State Advocates were to be an "insider", capable of dealing with the power structure of the formal organization to which he belonged. Ideally, the State Advocate identified would currently hold a position in the State education agency with responsibilities for the dissemination of innovative and exemplary educational practices.

Because the organizational patterns of most State education agencies in the region did not include a position which could clearly be identified as a Dissemination/Diffusion agent, the State Advocate role fell to an existing Task Force member, such as the ECE specialist or the Chief's proxie to the Consortium Board.

If one is to define the responsibilities and desired behavorial patterns of the State Advocate, recognition must be given to the inevitable variability from State to State of the capabilities of the appointed State Advocates, of the degree of resource commitment to this program on the part of the State education agency, and the capabilities of each State education agency to inform and influence the Local Advocates within its jurisdiction. The State Advocate would serve as the key link between the Consortium, the product development team, the Local education agency and the State education agency.

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[3] It should also be noted that the time allotment of the State education agencies in the diffusion of the EWS showed that the success of the particular State's diffusion plan was closely related to the amount of time given.

State Advocate functions and procedures included the following.:

1. Assisting the Consortium staff in the identification and activation of existing State education agency communication channels so that messages generating awareness of, and receptivity to the MPEP, may be transmitted to potential target audiences throughout the state.
2. Identifying the Local education agency and assisting them in organizing local resources in such a manner as to facilitate the implementation of an MPEP demonstration.
3. Organizing the distribution of MPEP materials to the target audience, and the review of materials.
4. Assisting the MPEP development team in securing State education agency, Local education agency, parent and child feedback concerning tapes and printed materials under development.

5. Cooperating with the Consortium program evaluators in collecting evaluation data.
6. Exploring potential funding sources for both local and State MPEP related activities.
7. Conferring with other State education agencies, Consortium staff members and Task Force members from his State for the purpose of exchanging information relevant to the Consortium and the MPEP efforts, so that a more effective diffusion mechanism may be developed for the installation of other R & D products.

The State Advocate function was maintained in the EWS, much the same as it is defined here. The effectiveness or lack of it will be discussed later.

The Local Advocate

The function of Local Advocate and Task Force persons complete key implemention functions.

The Local Advoacte was to be identified by the State Advocate. The individual identified as a Local Advoacte was designed to be a local school administrator who has demonstrated considerable interest in the pre-school program. The Local Advocate would need to be a person who could identify with the product and who occupied a position giving him access to the human and financial resources essential to the product's introduction into the system.

The Local Advocate would act as a catalyst and assure the feedback of program evaluation data to both the developer and program evaluators. A list of additional functions included:

1. Disseminate information concerning MPEP throughout the community.
2. Arrange for the distribution of MPEP printed materials to the local television broadcast.
3. Coordinate the training of the local program staff by the development team.
4. Facilitate the collection and feedback of evaluation data.
5. Secure the physical facilities for housing the local program staff and the group sessions.
6. Schedule the conduct program visitations by potential adaptors of the program.

The Local Advocate, like the State Advocate, was expected to be a more lasting role than the Task Force leaders, who in the conceptualization of this Diffusion Plan were to be establishing a temporary structure consisting of specialists or directors from each State Agency responsible for a particular component, or program which related to the R & D product, which was the subject of diffusion. It was extremely important that the Task Forces be given the opportunity to interact as a group across States to share specific strategies and techniques for carrying out their unique role within their own State Agency in support of the MPEP advocate team.

In regard to the feedback in the product development state, each Task Force served as a conduit through which the product component being developed was reviewed from a specific technical perspective. The diffusion related activities of Task Forces were to be terminated once the diffusion process had operated to install any given R & D product. However, the Task Force may continue to serve as a structure for continued feedback to the developer. As new R & D products were put into the diffusion system, new Task Forces would need to be identified as the old ones were retired.

At this point, it must be stated that the Local Advocates were never put into full affect. The Local Advocate was to have been an individual who had commitment to the product and who by his official and informal status could move the local system to utilize the product. Thus, there would have been a direct linkage from consortium to State education agency by way of the State Advocate to the Local education agency where ultimate diffusion would have to take place if the plan and product were to be labeled "successful". The agencies never developed this network to the degree intended or stated in the consortium proposal. Yet, materials were sent to the Local education agencies and they were disseminated but not apparently through those designed.

In the next chapter some of the affects of not having such a linkage system are noted as the implementation of the plan is viewed.

CHAPTER II

THE DIFFUSION STRATEGY AS IMPLEMENTED

THE DIFFUSION STRATEGY
AS IMPLEMENTED

Introduction

In relating to any form of process analysis, one is constantly aware that significance is seldom found in large specific actions or behaviors. Patterns, when found at all, emerge only when one is involved in looking at innumerable small pieces which is where interaction begins to give meaning and the impression of a pattern. To determine the processes involved in the State Consortium developing a Dissemination and Diffusion Plan, and the individual Appalachian States' reaction in utilizing it, to whatever degree the respective States choose, this issue is of particular significance or concern when venturing forth into an area of evaluation and research. Are we treading on new ground and often establishing new procedures willingly or not? This evaluator's approach is one of slow simplistic development and inter-relating of both performances of behaving and verbal statements of intent.

Defining Terms

Where statements are made, definitions are required. Where behavior is exhibited, analysis and interpretation are mandatory. Dissemination and diffusion became two terms and concepts requiring definition before moving into the analytical section of this chapter. Dissemination is defined as:

> Communication of an idea or concept to another, or others and/or the making of some-ones or one, aware of some existing physical material and the understanding thereof. The dissemination may also include the actual testing to some degree, such as in a pilot project, or the concept idea methodology or actual materials.

Diffusion is defined as:

> The inter-change or infusion of the concept idea methodology or material throughout some given system. In this document, it is the educational system that is being referred to when the term group, groups or institution is mentioned.

It also becomes necessary to define communication in order to utilize effectively either term, dissemination or diffusion. Communication is defined as:

> The actualization of verbally, pictorially, physically, or through any other means of informing another or others of a message, and having it received with the impact and understanding intended.

When this happens intentionally along all of the lines designed, then one speaks or writes in terms of effective communication. What it occurs serendipitously or through the interchange of others, or other systems, it is still communication if the message is received and understood, but it is inefficient if not ineffective. There is also the question of what might be considered a time-lag. By the term "time-lag" is meant:

> The actual or perceived time between which the message is sent for a given reason, or purpose and the time when the message is received and capable of being acted upon.

One can already see that as the time-lag lengthens, the message may be received and communication may exist, but the capacity to act efficiently and effectively is increasingly endangered.

Finally, it must be remembered that concepts, theories and plans work, or do not work, in relation to degree of effective implementation. Implementation certainly is affected by the plan and the specific methodology related to it, but perhaps even more, implementation is affected by the degree of commitment involvement or those responsible for carrying out or implementing the plan. Thus, another term to be defined is "commitment." "Commitment" is full of vagaries and leaves little on which the researcher can "hang his hat" of validity or reliability. When the term is used here, it must be put in the context of: (a) "Consortium commitment", and all that that means which will be defined, and (b) State participatory commitment. Consortium commitment is defined as:

> The degree to which the Consortium: (1) shares information; (2) permits full participation; (3) follows up on all advice; (4) develops a plan and has States participate in final acceptance; (5) gives sufficient notice of events so that all have time to attend; (6) develops model fo State use; (7) develops model components; (8) sees that

distribution is far enough in advance for effective use, alteration or questioning; and (9) follows up and evaluates.

Of course, commitment is determined by some antecedent variables related to refining proposal and model, until acceptable to funding agencies. Naturally, commitment may be less relevant here than financial need. Yet, there are clues one can look for, such as, the degree to which the model is kept the same, but the priority altered; the degree to which one gives sufficient supportive date for an idea, versus merely funding need.

Commitment, then, is clearly determined by the behavior of the institution, group, etc. being analyzed. In this same vein, there is a need for commitment on the part of the State or States involved in this activity, if the probability of success is to be real. State commitment is also determined behaviorally. Here, State commitment is defined as:

> Attendance; important officers sent to meeting; maintaining agreement re: financial and human resources; involvement in final planning; in-State involvement with project; degree of alteration in home State diffusion and dissemination system, and the reason for same; the degree of recording and evaluation of State's performance and results; and results sent to Consortium.

The Analytical Approach to be Employed

The actual diffusion and dissemination plan must be reviewed analytically and logically as though from an armchair - like Nero Wolfe or Hercule Poirot. Does it make sense? Does it fit?

Unfortunately, the plan can never be evaluated in and of itself, from an achievement viewpoint. Whether the plan works or not, is ultimately determined by the effectiveness of the efforts of those applying, and those receiving. The contamination regarding cause and effect is real. Correlation is difficult. Each area, the plan, Consortium commitment, State commitment, can be reviewed and evaluated. Predictions of success or failure can be made. The plan can work or not work, and, in the end, it may be due to some unanticipated variable; or not work for the same reason or combination of reasons.

Yet, such information is required if repeated applications are to be attempted. It is the repetition under controlled conditions that will give final, valid and reliable information and data. What is revealed here is imperative to any future testing, analysis, or determination as to the effectiveness of this particular Diffusion and Dissemination Plan (D&D). Analysis of the Plan from an analytical and research bibliographical orientation takes place in the next chapter.

Human and Non-Human Resources

In this section, the evaluator views the actual performance of the Consortium and the States making up the Consortium in relationship to carrying out the D&Dm and any move toward independence from the NIE.. A critical aspect of D&D was the function and role of the State Education Advocate.

As discussed earlier, the success of the D&D developed by the Consortium, depended heavily on how much time and effort the SEA could devote to the plan; and how much necessary access he had to top education executives in any particular State to help solve bureaucratic problems and work efficiently. Also, the SEA was supposed to be able to determine those local persons who could most help dissemination and/or diffusion at the local level.

Thus, for purposes of analysis, looking at the amount of staff time and finances given to carry the EWS throughout the State, gives one of the clues regarding commitment and level of implementation. The evaluator designed a series of interview schedules and questionnaires for SEA's, Consortium staff management and personnel, and the Consortium Board of Directors. The information presented hereafter, by and large comes from such sources (see Appendix B).

Budget and Manpower

Tables I and II (see Appendix C), reveal how large a budget and how much manpower each State allocated to the printing and dissemination of the EWS. These Tables are based upon SA responses to Question 18.1 (see Appendix C), as follows:

> South Carolina spent $100.00 for the initial purchase of the brochure, used part-time staff, and took 10 to 26 man days. The State of Tennessee spent $1,500.00, and the SEA spent 1/20th of his time on the D&D plan. The response of Virginia's SEA indicated that he knew of no financial allocations, only one part-time staff person was used, and he spent 10 to 20 man days on the plan. This lack of information or knowledge says something at least about involvement. He did indicate, however, that Pennsylvania's SEA also did not know, he spent only three days of the year on EWS. North Carolina's SEA stated that the State planned to use some Federal resources, and that he used about 5% of his time, somewhere between 10 and 20 man days. Kentucky's SEA indicated that $17,500.00 and 70 man days were spent, and the SEA spent 50 man days on the plan. West Virginia's SEA response was that $8,800.00 was the State investment, and the SEA spent 10 to 20 man days. Alabama spent approximately $600.00 to $1,000.00, used approximately 25 professional personnel officers and professional organizations who contributed time and effort, and parent organizations and the SEA spent 10% of his time.

From Tables I and II, it is apparent that there was a wide disparity among States and SA's as to the amount of State funds involved, and SA time. The overall average sum was $3,600.00, with an average SA time involvement of 22 days. What is noticeable, is that where a State had a high financial investment, one generally found a comparatively high SA time factor. If this analysis holds, West Virginia and Kentucky should consistently be high on the D&D scale, and Virginia and Pennsylvania should be low. Already, however, one notes that there was a differing amount of commitment, even when all had the same input. The D&D

seems to be applied more by some than others. Why? Does it even work for those employing it the most? Ultimately, these questions also must be answered.

A brief look at the involvement of West Virginia with regard to the Consortium and its relationship to the NIE begins to give clues. West Virginia was one of the founding members of Consortium. The State also has a representative serving with AEL. Another "plus" for the State is that within the hierarchy of the educational system is a man who once served as the director of the Consortium through most of its history.

The West Virginia officer was the Assistant Commissioner for Basic Education within the Pennsylvania Department of Education, and also was the Secretary (Penn.) appointee to the Consortium's Board.

In his summarization of the Consortium's purpose under the NIE contract from 1973 to 1975, the Consortium's Director stated:

> "The Consortium became a corporate organization in 1973. The principal purpose was to form an organization to respond to identified needs. Early childhood education was identified as a need, and the Consortium planned to utilize a dissemination strategy in meeting this particular need, and the HOPE program was at first to be revised and used. The agreement with NIE was to substitute the HOPE program with the devopment and dissemination of a brochure on early warning signs of handicapping conditions of pre-school children. This has been accomplished."

It would appear from the above, that the West Virginia involvement was real and participation was active. However, there is some evidence to indicate that West Virginia had previous experience in working in multi-State ventures. Thus, it was first thought that this factor might be the key to Consortium involvement and utilizing a multi-State developed diffusion plan. In this regard, we looked at North Carolina.

North Carolina was one of the original Consortium members. Its participation in the Consortium dates back to the May 4, 1972 conference call placed by Dr. Benjamin Carmichael. The Consortium effort, however, marked the first time that North Carolina participated on a formal basis in multi-State effort. Once in the venture, the State supported the effort freely, by attending most of the meetings and all of the conferences.

In North Carolina, the primary responsibility for the EWS brochure dissemination was given to one staff member who, in turn, worked with other department persons. The staff member was under the direction of the Superintendent of Public Instruction, who is a member of the Board of Directors of the Consortium.

In the State Department of Public Instruction, the major resource for diffusion rested with the Division of Public Information and Publications. That Division works with the other divisions in developing publications to send to the local schools, colleges and universities, and other State agencies. One publication of particular interest to exceptional children is in the December report. This publication is mailed about once every six weeks.

The Division of Public Information and Publications maintains close liaison with newspapers, radio and television stations, and other news media in the State.

North Carolina undertook a massive effort to disseminate the EWS signs as the following summary will attest:

(a) Meetings with various personnel to discuss the brochure were held.

(b) A committee was formed for the expressed purpose of outlining dissemination possibilities.

(c) An operation plan was developed:

1. Distribute the brochure to local superintendents.

2. Distribute brochures to local coordinators or exceptional children.

3. Mail brochure to directors of State agencies concerned with the delivery of service to young children.

4. Mail brochure to heads of exceptional children-parent organization.

5. Present brochure and television spots to the Council of Educational Services for exceptional children.

6. Present brochure to members of the State task force to design the Early Childhood Development Program Plan.

7. Order twenty-four, one-minute television spots to be shown on eight stations.

8. Order 10,000 brochures with special information in the frame.

9. Distribute brochures at the State Superintendents Drive-In Conference on Children with Special Needs, Spring 1976.

10. Distribute brochure to various service organizations.

11. Contact various magazines to discuss the possibility of getting the brochure published in their magazines.

From all of the above, it is clear that previous experience in multi-State ventures may be a factor in a State's positive performance, but clearly from the evidence of North Carolina's involvement, it need not be. This then raised the issue of commitment and interest as the vital factor, regardless as to previous experience. Since all of the Appalachian States were on the Appalachian Laboratory's Board of Directors when the Consortium concept was developed, and all indicated assent to it and the diffusion plan, the commitment and the varied reasons for same, appeared to be the next natural area for enquiry.

Commitment: Acceptance of the Plan

In viewing "commitment," we looked at the degree to which the States accepted the diffusion plan, enlarged on it, the amount of money spent, the number of man hours invested, the number of brochures printed and distributed, the degree to which the State went outside of its normal communication channels to reach its EWS population, and why. (see definition at the beginning of this chapter).

It was maintained that since no records, data or information was found that showed disagreement on the part of any State with the basic diffusion concept, or disagreement at the last diffusion strategy meeting before States were to implement their plan, that our variable regarding commitments were valid and reliable.

In the questionnaire submitted to SA's we asked them what were some of the communication resources discussed at Consortium meetings (Question 9, see Appendix D); what resources did they include in their plan (Question 10, see Appendix D); what were the reasons for selecting these particular communication channels, rather than others (Question 8, see Appendix D); and what were the reasons for selecting those resources over other resources (Question 8, see Appendix D). Through these questions, we intended to determine whether or not meetings were attended, what resources were mentioned, what was the logic behing Consortium behavior and State behavior regarding communication resources, to what degree did the Consortium and States determine their communication channels based upon the population to be reached, versus past behavior, what was the commitment to success.

Comparing responses to Questions 2, 4, 6, and 7 (see Appendix D), we got a clearer picture of what type of diffusion and dissemination apparatus a State had before the Consortium developed its plan and to what extent the Consortium caused modification in each State's particular diffusion and dissemination mechanism (as revealed by Questions 6 and 7, see Appendix D).

Only Virginia felt its diffusion capabilities were severely limited for a variety of reasons (i.e. short staffing in area of special education, lack of experience in area of diffusion, diffusion not a priority, and a lack of effective inter-division communication). North Carolina indicated that its diffusion status was limited in that the existing communication mechanism at the State level for reaching parents, was through notices regarding public hearings in State newspapers. On the other hand, Kentucky, through its SA, noted that its diffusion capability was designed to reach school personnel at all levels. The SAs of both South Carolina and Tennessee stated that they diffused material from the State Department of Education to State-wide districts, to Superintendents, and finally, down to the LEA itself. The State Advocate from Pennsylvania was unable to respond, and the West Virginia SA felt that West Virginia had an adequate diffusion plan, but limited capacity to carry it out.

Before leaving this analysis, one should look not only at what channels were selected, but which barriers prohibited the use of certain channels (Question 12, see Appendix D), as well as what the reasons were for selecting the sources that the State did chose. The reasons given were several: availability or ease of reaching, or using the source that was most often mentioned; next, was continued use of conventional practices; and last was "No Answer." Obviously, the first two might be interchangeable, but there was no way of judging this initially. The barriers discussed included lack of financial backing, lack of motivation, and available staff, as well as hesitation on the part of the States to undertake this particular plan.

Commitment: Modification of Materials

From looking at the four questions mentioned, and the subsequent responses of the State Advocate, one can begin to see some of the effect of the Consortium's ideas and concepts regarding diffusion upon each of the States. The States that did make use of the Consortium's ideas and concepts, should have been able to put together an effective diffusion mechanism. From all of the evidence printed, the brochure was probably the most effective single piece the Consortium made available to the States, and was used very effectively by some (Kentucky and West Virginia), and to a lesser degree by others. The tapes that were provided, if utilized properly, could have reached a vast number of parents, if both education as well as commercial radio and television were utilized by the State for the dissemination of the EWS.

Questions 4, 6 and 7 (see Appendix D), are dealt with together, because they deal with established commercial channels that each State discussed using, before the Consortium's plan was developed, and Question 7 (see Appendix D), deals with the actual commercial channels adopted after the Consortium's plan was introduced. For reasons of clarity, Questions 6 and 7 (see Appendix D), are dealt with first, in hopes that one would then be able to better see the Consortium's effect upon the final plan developed by each State.

States that made major modifications in the number and kinds of established commercial channels that they used after meeting with the Consortium, and discussed the kinds of channels that could be effectively used (television, radio, newspapers, conferences, etc.), are West Virginia which adopted all the channels, and Kentucky which adopted all. Tennessee and Virginia were already making use of over half of the fourteen channels discussed at the meeting, but did adopt a few additional ones. Of the States that were able to respond, (North Carolina and Pennsylvania did not), South Carolina and Alabama made the least number of modifications after being exposed to the Consortium's plan.

The Consortium devised a plan for diffusion and dissemination, but it was up to the States to implement the particular aspects of the plan it decided to incorporate into its mechanism. It was the intention, or so it was stated, for each State to diffuse and disseminate the information in the EWS down to the local level, so that eventually parents and students could make the best use of the information. A printed borchure concerning the EWS was developed and made available to the States. Most of the States distributed between 10,000 and 25,000 copies (see Table XI, Appendix C), with one distributing less (South Carolina 5,000), and two distributing more than 100,000 (West Virginia and Kentucky). One should note here that the same two States which allocated the most time and money to the dissemination of EWS, also distributed the most brochures. Again, one of the signs of commitment.

After close scrutiny of other tables, one also can see that some States made more effective use of different types of media (i.e. radio, television). The Consortium provided sample tapes of radio and television spot announcements (Consortium commitment). Several of the States adopted the general message and only changed it slightly (see Table XXIV, Appendix C). Those States were Alabama and North Carolina, and four other States developed their own. Here an analysis of reasons for adopting or changing the ideal model to a local one is necessary. Once a message had been developed, only four of the States at the time of the SEA questionnaire had used it on radio and television (see Tables XX and XXIII, Appendix C).

Commitment: Number of Organizations and Persons Reached

The goal of the Consortium, as has been stated, was to develop an effective diffusion mechanism targeted to reach the maximum number of persons at the school district level (i.e. parents, students, and district level personnel). Four of the States had over 70% of their respective diffusion capability targeted at the school district level. When SEAs were asked to respond as to how many head of Local Education Agencies sent copies of the Early Warning "Signs", four of the States sent copies to between 100 and 200, the other four did not know (see Table XIX, Appendix C), and of those States that sent copies to the heads, most received either a response that they thought the "signs" were excellent, or at least a positive receiption (see Table III, Appendix C). The Consortium, as was mentioned, proposed many different resources in the forms of parent groups, professional organizations, etc. as far as diffusing the "signs." Some States made use of more than others, with Kentucky having the wide ranges (see Table XIV, Appendix C).

From the data given, one begins to see the effectiveness with which the States made use of the Consortium's diffusion plan. It should be noted here that at least one of the States, Pennsylvania, answered few if any of the questions, and others were less than complete in the responses that they made. All the States had fairly large numbers of parents of pre-school children to reach (ranging from 300,000 to 3 million), (see Table XIII, Appendix C). Two of the States say they intended to reach all of the households in its States (Tennessee and West Virginia), but only one of those States (West Virginia), spent an appreciable amount of time and money distributing the "signs." The Consortium developed a mechanism that when all the different aspects of it was utilized in a well-targeted manner, with necessary funds, the Early Warning "Signs" would be distributed to a significantly different group than before.

Analyzing Aspects of Implementation: Groups and Communication Channels

(a) Communication Channels

Comparing communication channels generally used by State Education Agencies with those channels discussed at Consortium meetings, and then noting the final channels chosen by the State Education Agencies, gives insight into: (1) aspects of the diffusion and dissemination design particulars; (2) Consortium commitment; and (3) State commitment.

Looking at Table V, Appendix C, it is apparent that most States employed direct channels with Local Education Agencies, through newspapers and newsletters (in that order). Table VI, Appendix C, shows the communication channels discussed at Consortium meetings (see Tables V and VI, Appendix C).

It is clear, that when one compares the normally used communication channels with those discussed at the Consortium meeting, certain media channels were discussed more often. It is assumed that the discussion was of television commercials and educational newspapers, radio and other staff agencies, brochures, etc., because the audience to be reached were parents of pre-school children. Yet, discussions are not the same as performance. Obviously, Consortium meetings permit at least two events: (1) the giving of information by professionals or specialists in a given area, and (2) sharing of ideas and information between and among States. The results of (1) and (2) should reveal changed behavioral patterns, where commitment exists, and where such channels are in existence, but not presently in use by the State Education Agencies. Table VIII (see Appendix C), gives this information. One notes the increase in the use of television, radio, newspapers, brochures, and utilizing other staff agencies that were utilized before.

Why Channels Were Chosen

Such evidence would indicate the effectiveness of discussions and use of Consortium specialists. Of course, one fully needs to determine why the State chose these particular communication channels. SEAs were asked why they chose these channels. South Carolina and Virginia indicated convenience and the population to be reached was their answer. The SEAs of Kentucky and West Virginia indicated that their superiors made these decisions rather than themselves. Alabama indicated that these channels were chosen because they made sense. It is apparent, where we note the changes from what had been employed to what now was to be utilized, that the change was due to the Consortium interaction.

(b) Parent Groups

Since reaching out to parent groups is one way of getting information to parents, the evaluator asked State Advocates whether or not they had contacted parent groups (see Table VII, Appendix C).

Only three States responded to the question of parent groups contacted. What is apparent, however, is that even when noting these three States, the focus is on groups that are most likely to have children of a pre-school age, and/or potentially exhibitors of Early Warhing "Signs" of mental disability. The table also indicates that some groups are reached through Easter Seals which have an outreach beyond merely the handicapped or disables. Noting this table with the one related to normal communication channels, it is apparent that these States enlarged their focus in order to reach a specific population. Once again this clearly relates to both types of commitment, Consortium and State, and a well-designed plan.

Reaching the Intended Audience

When States were asked as to the amount of effort spent directly reaching existing school population - students and their parents - the range went from 70 to 100% (see Table VIII, Appendix C).

To be noted is that States, e.g. South Carolina in Table VII (see Appendix C), used only brochures and Local Education Agencies, and brochures were distributed through the same. Clearly, it did not reach the widest potential audience it could, nor should have. Also to be noted, is how the answers to questions are checked giving validity to statements and findings. Alabama shows an inconsistency since in reaching newspapers and radio along with LEA, yet according to the same table, claims 99 to 100% of its effort was targeted for the LEA. In all other instances, the findings "hold up" well. Thus, this table supports the earlier tables indicating communication areas into which effort on the part of States was channeled.

The development and distribution of the brochures themselves, also gives much information that is helpful in deciding the effectiveness of the Consortium's diffusion and dissemination plan, as well as those essential behavorial aspects related to commitment and performance critical to achievement. Tables IX, I, XI and XII (see Appendix C), are enlightening in this regard.

Population Intended and Reached

States intending to reach the largest number of parents should have ordered and received the largest number of brochures. Comparing the tables reveals this supposition to be accurate. Tennessee, West Virginia, North Carolina, and Kentucky intended to reach the largest number of families, ranging from 100,000

3,000,000 families. West Virginia utilized the major number of communication and media channels and had the largest number of brochures printed. Clearly, the commitment of such States as West Virginia, North Carolina, Tennessee, and Kentucky, was real. Tables X and XI (see Appendix C), also reveals that the number of brochures ordered were not cancelled and were actually received. In most instances, the estimated population was to be reached in one way or another, and approximately one-quarter of those to be reached, was to be by brochure. Only Alabama was far below this figure.

In every instance, the estimated number of persons to be reached is considerable, showing involvement and varied degrees of commitment.

Another look of completeness of design and involvement is noted in viewing Table XIII (see Appendix C).

Local Messages

On the brochures developed by the Consortium, there were blank spaces which could be used for special messages of limited size, if a State wanted to do so. Five States showed sufficient commitment and awareness to utilize this space for local contacts, school contacts, etc. These are the important little details that indicate commitment, awareness of details that improve chances of success. The blank spaces show the planning of the Consortium to have States add necessary messages to the brochures. The filling-in of the spaces shows the appropriate additional effort on the part of the State.

Support Systems Other Than State Advocates

Earlier it was stated that LEAs were a critical part of the dissemination and diffusion plan. However, evidence obtained made it apparent that only limited time was allowed for the Advocate to work on this project. During certain phases, limited involvement on the part of Advocates might have been acceptable, but during other phases such involvement seemed detrimental to the overall play. What did the States have to supplement the time and effort not given by the Advocate (see Table XV, Appendix C)?

Departments Other Than State Education Advocates

As can be seen from Table XV (see Appendix C), with the exception of but two States, all of the other Appalachian States, when it came to the final diffusion effort, had one or more divisions or departments helping with the effort. Two States appeared to be singularly less involved in this project than any other States from the questionnairs and other responses, and had no one, other than SEAs, carrying out their respective efforts; at least according to interview responses. At the other extrene were Virginia and Kentucky, States which apparently established the most supportive effort.

The above would appear to indicate some built-in problems when the SEA is less than a full-time diffusion agent, or when only one person without staff is expected to effectively carry out a diffusion and dissemination plan.

Further analysis of Table XVI (see Appendix C), reveals additional information. The SA of Pennsylvania indicated a lack of awareness of the Consortium's diffusion plan. Additional interviews indicated that a change in State Advocates had taken place, and the replacement had never been properly briefed or brought up to date with regard to this project, if one is to assume from the lack of knowledge and information conveyed to the ESA interviewer. This would appear to show at least a lack of communication, if not lack of commitment (see Table XVI, Appendix C).

Other Funding Sources

Alabama and North Carolina, showing commitment, indicated that they would find the funds for this project. Although West Virginia indicated it required additional funds, it found them, as can be seen from earlier tables and analysis. This shows involvement and commitment required if ultimate success is to be achieved. It should also be noted that where SA's do not know, or do not take the time to give information, blanks will exist on tables. This is of note, since all top executives were informed of the critical need to evaluate and indicate their complete support, noting that their in-State staff would also be so informed and would cooperate. Virginia's SAs were met in a meeting held in Atlanta, Georgia, and the same was revealed to them. For the most part, the evaluator's follow-up indicated that no responses revealed lack of information. More will be stated about this point later.

Of much concern, is the degree of detail employed in designing the implementation of the D&D Plan as it was to be employed by the States. What audiences were to reached, and how? When would we reach those persons at home? In the mornings, or evenings? The following material relates to such specifics and helps define the pattern or patterns noted and to be noted.

A.M. Audiences Reached

A look at the methods employed by States to reach daytime audiences is revealing of strategy and tactics concerning diffusion plan development, Consortium and State commitment,(see Table XVII, Appendix C). All States utilized brochures and a majority employed television as a way of reaching an A.M. audience. Mailings, meetings and newspapers were other techniques.

All of these including magazines had been suggested by the Consortium and discussed by the States at meetings. States, by and large, agreed with the Consortium suggestions and utilized them. It is apparent that the Consortium had given much time to thinking beyond the conceptual level to the implementation of the plan. It is equally apparent that the States reached out to most of these organizations, institutions and media. This shows planning and commitment.

Verification of Audiences Reached

Information was kept on which persons were reached and through which organizations. Most persons reached who could be reliably noted were through social agencies, special education groups, and local education agencies. This is as one would expect. There is greater control over these institutions which are close to or part of the education system than those institutions external to it.

Superintendents of local education agencies were reached. On Table XIX (see Appendix C), "UNK" represents State Advocate not knowing the approximate number of local superintendents reached. Such a lack of awareness on the part of SA's when they had the questionnaires for weeks and sufficient time to gather such information if they wanted, or if it existed, is informative in and of itself. Such information should have been kept or readily obtainable. From other information and tables present, it would appear that in many instances and ways, SAs were not exclusively in the diffusion plan and often were perhaps circumvented.

Thus, aspects of implementation are being seen as possible interferences with design implementation or achievement. Certainly, the concept of the SA as designed is far less in implementation.

In almost all instances, States employed radio and/or television. Only South Carolina indicated that it did not utilize either media (see Table XX, Appendix C).

Attempts to Reach P.M. Audiences

The table makes it clear that a significant number of spot announcements were planed on both television and radio. Some States did not answer the questions and either had no such information, or did not try to get it. Once again, we are confronted with the knowledge or lack of it on the part of the State Advocate. To be noted in Table XX (see Appendix C), giving otherwise limited information, is the fact that thought had been given to reaching the population during evening hours as well as daytime. Clearly, once again a designed thoroughness to the plan is noted. The television and radio space was left on each tape for local messages as in the case of the brochures (see Table XXI, Appendix C).

Pennsylvania once again did not have information. Most prepared a message as to whom to contact, or a specific message of another nature, ten seconds in length.

The stations reached by the various States are indicated in Table XXII (see Appendix C).

Only four SAs sent the exact station information requested. It is clear that in one form or another, such information could have been obtained. Apparently, those SAs who responded "NA", did not have such information regardless as to who may have had it. Once again, this reveals the less than total involvement of the State Advocates with regard to the role of the State's diffusion and dissemination implementation of the Consortium plan.

States were asked whether or not they had developed State dissemination and diffusion plans, and commited them to writing. The answers given were in the negative. Pennsylvania once again indicated a lack of knowledge. Consistently, one finds a lack of concern regarding evaluation or systematic record keeping of all significant events related to the diffusion and dissemination plan of the EWS. Or stated differently, SAs do not appear to have been fully informed, inquisitive, interested, or had enough time in light of other duties to perform all of the conceptualized duties of the State Advocate.

Summary and Analysis

From the material presented, a number of supportable statements can be made and a significant view of the diffusion design as implemented has been obtained and presented.

(1) The Consortium called in experts to design a diffusion and dissemination model. This was done.

(2) It was found acceptable to the National Institute of Education.

(3) The plan was explained to all States which were part of the Consortium.

(4) Every State had one or more representatives participating in all meetings related to the development of the plan.

(5) Representatives had sufficient advance notice to attend meetings related to the development of the brochures, radio and television tapes.

(6) Besides these areas, meetings where held related to audiences to be reached, and how.

In essence, all aspects of implementation were developed with State participation. The Consortium staff made itself available to every State for any additional information needed. They sent the model brochures, tapes, outlines, etc. well in advance of dates needed so that each local had time to discuss, digest, alter and reach out to appropriate institutions, organizations and media channels for implementation.

The Consortium Performed These Implementation Services Well

The project was late, months later than anticipated. There were problems, innumerable problems, most having been described. All of these events and happenings had their effect, but the actual tangible items produced by the Consortium for implementing the dissemination and diffusion of the EWS were well done. But is that enough to prove the value of the plan? Here, however, the concern is the performance of the Consortium and the States' commitment. The presented data and information tend to indicate a wide range of commitment. If a scale were being drawn, at one end might be Pennsylvania, in terms of limited information given, and at the other end in terms of achievement, North Carolina and West Virginia.

Such a range indicates that the performance of the Consortium was more than adequate, and the difference in State behavior is due to individual differences and commitment. All of the variables noted at the opening of this chapter as relevant to Consortium commitment have been met. Those noted as relevant to State commitment have been met by some and not by others. Obviously, State-wide commitment was somewhat indifferent.

If there were less than full involvement on this project which was so crucial to the initial beginning of the Consortium, then by assumption, one can understand the range of attitudes and performances of States regarding developing the independence of the Consortium. There is no valid reason for the AEL to want the Consortium for diffusion and dissemination and to be independent of itself. The Laboratory clearly wanted the Consortium for purposes of political influence to help further its own existence and legitimate research efforts.

There are no documents, correspondence, statements and consistent behavior that the evaluator has become aware of, that show any consistent State-by-State desire and commitment to Consortium independence.

Other evidence to support this position is to be found in the sums of money and resources some of the States put forth in this project. No State had Local Advocates. Other States had State Advocates with little if any power, and limited involvement. Limited information is maintained or able to be conveyed. Such is not the way to develop independence. Additional information and data will be presented in a later section. At this point, one can indicate clear Consortium commitment to the implementation of the dissemination and diffusion plan. State commitment was far less than total. Indifferent State commitment is consistent with State commitment to Consortium independence. The plan as carried out differed in some significant respects from the plan as designed, but all evidence indicates that the plan could work as a model under similar circumstances as existed in the State Consortium.

THE DISSEMINATION & DIFFUSION PLAN

Introduction:

In actuality, there are two innovations being evaluated in this program. First, there is the main objective, the Dissemination and Diffusion Plan and the product through which one is to determine the affect and effect of the plan. In essence, the plan consists of three parts: strategy; tactics and implementation. In general, the literature relates to the first two, but often omits the third. The Early Warning System (EWS) is a product which consists of an idea or concept, i.e., the ability to predetermine through behavioral patterns whether or not, a child is or may be retarded and having a parent capable to noticing same. However, implicit is the assumption that someone wants the innovation, concept or what have you for if this assumption is false, then, there is another aspect that must be developed, "consumer interest." Consumer interest differs from developing awareness.

In the instance of the EWS, there is sufficient evidence that there is a concern regarding retardation among school administrators, parents and others, thus consumer interest is not the problem only "awareness". In this regard, note statements in the first chapter. Thus, the capacity to develop awareness on the part of the ultimate consumer is part of the dissemination and diffusion task. The performers or implementors of the plan provide this service effectively or ineffectively based on (1) the strategy and tactics designed and (2), on how well they carry out these endeavors. With regard to (2) above, it was found that the Consortium performed this function very well, as noted in the preceding chapter. At the end of this chapter, that information will be analyzed in relation to our findings here concerning the quality of the strategy and tactics employed as seen when compared with a review of the literature.

The first section of this chapter views the aspects of the Diffusion Plan from a critical point of view. How does the plan in this project stand up against what we know about dissemination and diffusion from the literature and past research?

The review of the literature section is not prepared as a scholarly review of the field of dissemination and diffusion. It is a schematic review that serves three functions: (1) to compare the dissemination and diffusion design of the proposal under study with what the literature reveals above such programs; (2) to compare field findings with the literature findings, and from both to draw conclusions as to where this particular design fits in theory and practice and, (3) this comparison permits some statements to be made regarding the effect of the National Institute of Education's (Information Communication Systems) divisions efforts in this area on School Systems and other institutions.

In the final section, a review of previous sections of this chapter is delineated with overall summary and recommendations.

SECTION I

THE PROPOSED DISSEMINATION & DIFFUSION PLAN

Theoretical Assumptions

The plan is based upon (a) the Diffusion Strategy Guide, Appalachia Education Laboratory, Inc., Charleston, West Virginia, November 1973; (b) Basic Program Plan, Appalachia Education Laboratory, Inc., Charleston, West Virginia, February 1973. The Diffusion Strategy Guide draws heavily upon the works of Rogers, Havlock, Gruba and others plus the experience gained through the implementation of AEL, Model for Education Development.

This plan includes theories on (1) adoption as a process, (2) product characteristics, (3) innovations of the individual or groups involved with the products.

A diffusion plan, to be effective, must be based on valid, theoretical assumptions. This particular diffusion plan, using a Consortium of State Departments of Education, must include theories on (1) adoption as a process, (2) product characteristics, and (3) innovativeness of the individual or groups involved with the product.

ADOPTION AS A PROCESS:

Adoption (continued use) of an idea or a product by a consumer implies a process. The consumer has advanced along a continuum of several plateaus from his first contact with the idea (product) until he decides to incorporate it into continual practice. If he later rejects the idea and substitutes another, the process is the same for the new concept.

Rogers (1962) suggests five stages in the adoption process:

1. Awareness Stage

   At the awareness stage, the individual is exposed to the innovation, but lacks complete information about it. The individual is aware of the innovation, but is not yet motivated to seek further information.

2. Interest Stage

   At the interest stage, the individual becomes interested in the new idea and seeks additional information about it. The individual favors the innovation in a general way, but he has not yet judged its utility in terms of his own situation.

3. Evaluation Stage

   At the evaluation stage, the individual mentally applies the innovation to his present and anticipated future situation, and then decides whether or not to try it. A sort of "mental trial" occurs at the evaluation stage.

4. Trail Stage

   At the trial stage, the individual uses the innovation on a small scale in order to determine its utility in his own situation. The main function of the trial stage is to demonstrate the new idea in the individual's own situation and determine its usefulness for possible complete adaption.

5. Adoption Stage

   At the adoption stage, the individual decides to continue the full use of the innovation. The main functions of the adoption stage are consideration of the trial results and the decision to ratify sustained use of the innovation. Adoption implies continued use of the innovation in the future.

PRODUCT CHARACTERISTICS:

Products are different. Characteristics of the product (idea) determine the ease of getting the products incorporated into educational practices. (Rogers (1962) suggests five characteristics of innovations:

1. Relative Advantage

   Relative advantage is the degree to which an innovation is superior to ideas it supersedes. The degree of relative advantage is often expressed in economic profitability, but the relative advantage dimension may be measured in other ways.

2. Compatibility

   Compatibility is the degree to which an innovation is consistent with existing values and past experiences of the adopters. An idea that is not compatible with the cultural norms of a social system will not be adopted so rapidly as an idea that is compatible.

3. Complexity

   Complexity is the degree to which an innovation is relatively difficult to understand and use. Any new idea may be classified on the complexity-simplicity continuum.

4. Divisibility

   Divisibility is the degree to which an innovation may be tried on a limited basis. New ideas that can be tried on the installment plan will generally be adopted more rapidly than innovations that are not divisible.

5. Communicability

   Communicability is the degree to which the results of an innovation may be diffused to others. The results of some ideas are easily observed and communicated to others, while some innovations are difficult to describe to others. The

> communicability of an innovation, as perceived by members of a social system, affects its rate of adoption.

INDIVIDUAL INNOVATIVENESS

People differ in their acceptance of new ideas. Some people are constantly searching for new ways of doing things. They frequently diverge from the average and go off in new directions when it seems appropriate to do so. They seem to be more adventurous and willing to take risks. Conversely, some people do _not_ search for new ways or seem willing to take risks. They identify with traditional ways of doing things. Rogers (1962) suggests the following categories of adopters:

1. _Innovators_

   Observers have noted that venturesomeness is almost an obsession with innovators. They are eager to try new ideas. This interest leads them out of a local circle of peers and into more cosmopolite social relationships.

2. _Early Adopters_

   Early adopters are a more integrated part of the local social system than are innovators. While innovators are cosmopolites, early adopters are localites.

3. _Early Majority_

   The early majority adopt new ideas just before the average member of a social system. Participation by the early majority in activities with their peers is high, but leadership positions are rarely held. The early majority's unique position between the very early and the relatively late to adopt, makes them an important link in the process of legitimizing innovations.

4. Late Majority

   The late majority adopt new ideas just after the average member of a social system. Adoption may be both an economic necissity and the answer to increasing social pressures.

5. Laggards

   Laggards are the last to adopt an innovation. They possess almost no opinion leadership. Laggards are the most localite of all adopter categories, and many are near-isolates. The point of reference for the laggard is the past.

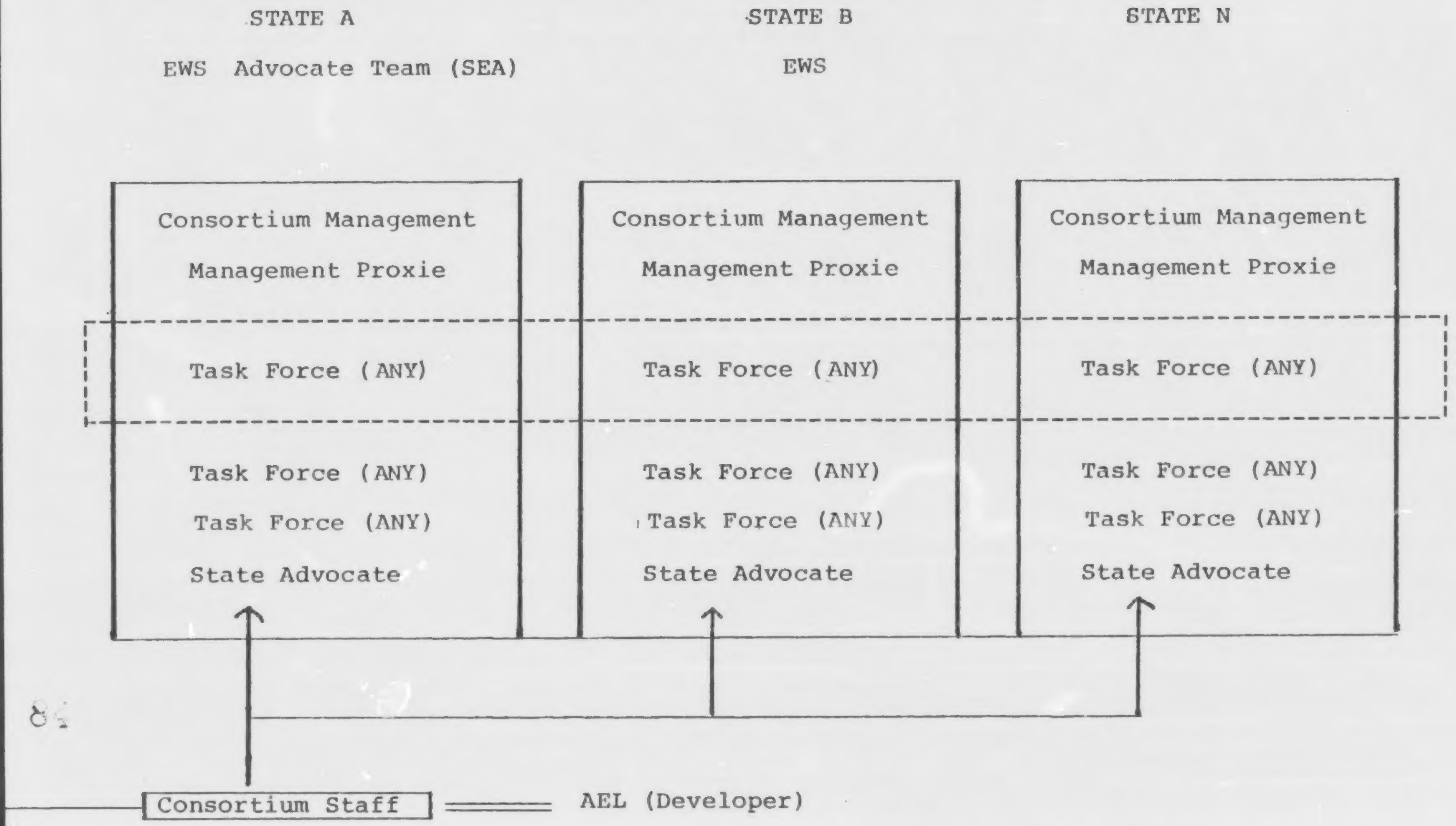
BASIC PROGRAM ASSUMPTION:

The diffusion plan outlined below is dependent upon several practical preconditions. It has been assumed that these precondtions will be met upon implementation of the diffusion plan. The assumptions regarding the preconditions are as follows:

1. The product will be completed on schedule as a deliverable product (including defined program objectives and guidelines, training materials, curriculum materials and tapes) encompassing complete television lessons for twenty sequential weeks of the Year One Phase.
2. The Consortium of State Departments of Education in the Appalachian Region will continue to be operable and able to commit the resources required to facilitate the implementation of the diffusion plan.
3. The participating State Education Agencies (SEA's) continue to perceive a need for the installation of the product as supportive of or an alternative to existing similar programs. In addition, participating SEA's will, in response to that

3. Task Force: the type of task forces established and directors chosen will vary based on the onnovation or product
4. State Advocate
5. Local Advocate
6. Consumers (Parents/Children)

These functions may vary in terms of who fulfills them in a given state and are not mutually exclusive at the SEA level. Functions 1-6 interact in two modes: within a given state as an EWS advocate team, and across states by a function-common group.


STATE A
EWS Advocate Team (SEA)
STATE B
EWS
STATE N
Consortium Management
Management Proxie
Task Force (ANY)
Task Force (ANY)
Task Force (ANY)
State Advocate
Consortium Management
Management Proxie
Task Force (ANY)
Task Force (ANY)
Task Force (ANY)
State Advocate
Consortium Management
Management Proxie
Task Force (ANY)
Task Force (ANY)
Task Force (ANY)
State Advocate
Consortium Staff
AEL (Developer)

The State product advocate team is responsible for assuring the readiness for one installation in their state. Their interactions are predicated on stated specific concerns. They are responsible in cooperation with the Consortium and EWS Program personnel, for identifying the installation site(s) and the Local Advocate(s) and assisting each other to carry out the tasks, identify the needed state/local resources, and gain commitment of same under the leadership of the State Advocate.

The cross-state task forces meet to discuss (under the joint leaderships of the Consortium staff and their task force chairmen) strategies for providing feedback to the developer from their role prespective and cross-pollinization of specific techniques for executing their special in-state tasks.

What follows is an overview of each of the functions and illustrative activities that may be carried out by each:

CONSORTIUM STAFF:

Though the Consortium staff serves functions beyond the scope of the product diffusion plan, consistent with "Basic Assumption Number Two" above, they will play a critical function in the coordination and facilitation of the plan.

The uniqueness of this function is evidenced by the fact that the Consortium Charter, the only one currently in existance, specifically cites dissemination/diffusion as an identifiable mutual objective.

The manifestation of that commitment to diffusion with regard to a product gives rise to the following roles and functions to be fulfilled by the Consortium staff:

- Define criteria for State Advocate selection.
- Assist the Management Proxie in identification of State Advocate.
- Coordinate integration and sequencing of diffusion activities.
- Insure product delivery.
- Insure that feedback impacts product development.
- Coordinate Task Forces and State Advocate activities.
- Facilitate SEA resource commitment.
- Manage project fiscal and administrative matters.
- Acquire consultative assistance when required.
- Monitor and report (for fiscal and public relations purposes) the progress of product diffusion among the Consortium states.
- Provide and facilitate necessary administrative and operational linkages between diffusion components and AEL developers.

- Seek funding support for those diffusion components or activities requiring assistance.
- Present product diffusion strategy and make product available to other regional labs.

The diffusion-related activities of task forces will be terminated once the diffusion process is operated to install any give R & D product. However, the task force may continue to serve as structure for continued feedback to the developer. As new R & D Products are put in the diffusion system, new task forces will need to be identified and, in turn, will fulfill similar kinds of roles, although the content and the specifics will obviously vary.

STATE ADVOCATE FUNCTION:

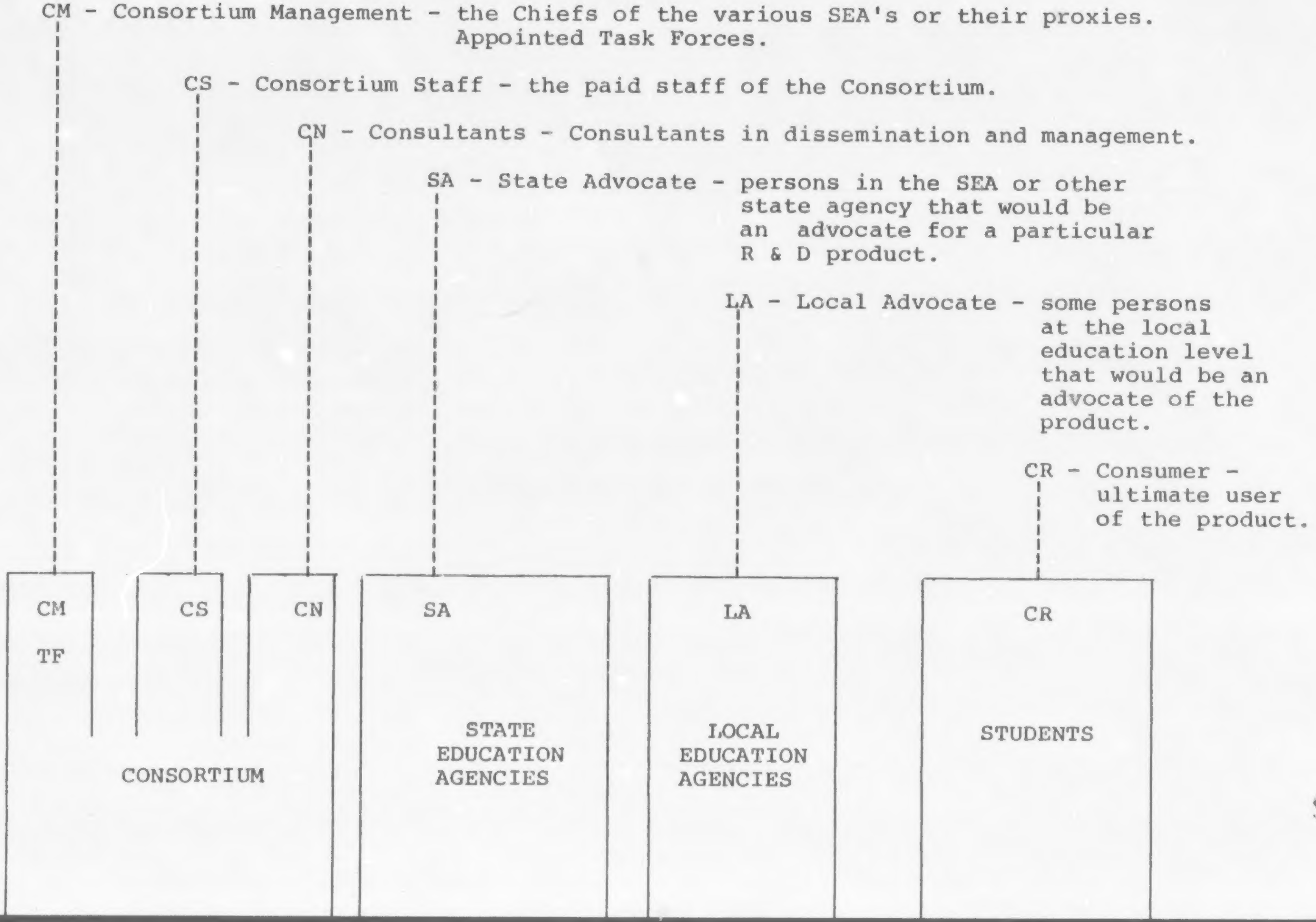
A fundamental proposition underlying this diffusion plan is the need for the establishment of the State Advocate function. Resource constraints suggest that few, if any, of the SEA's will be able to assign a newly recruited or an existing professional staff member to carry out the State Advocate role on a full-time basis for MPEP. Consortium staff, therefore, must assist in the identification of a human resource who can fulfill the State Advocate role. It is possible that one of the state staff already identified in the product activity, might also fulfill the State Advocate role. Other possible types who might fulfill this role could be directors or staff of the existing dissemination-diffusion units within the SEA, a generalist in a education information center which has responsibility for assisting in the dissemination/diffusion of innovative and exemplary practices, or someone outside of the SEA who has a track record in assisting the development of the types of Program for diffusion. Regardless of who the State Advocate is, some fundamental criteria for this role must be taken into account.

The State Advocate must be able to identify with the product and/or its results--and must be made familiar with the theoretical assumptions underlying the adoption of R & D products (Cf. Section 2, above). Though perhaps not formally identified in the power structure of the SEA as a key individual, he or she must have the endorsement of the Chief State School Officer in conducting his State Advocate role and must be aware of procedures for utilizing the informal structures of the SEA to insure that the necessary minimum requirements can be met.

One of the most critical functions of the State Advocate may be to identify the Local Advocate in a site which meets the criteria for being a program demonstration site. He may have responsibility for training the Local Advocate in certain skills to assure competency in carrying out the unique tasks related to the Local Advocate role. The State Advocate must be encouraged to seek technical assistance from the Consortium staff and/or consultants to fulfill the function.

SUGGESTED INTERACTION COMPONENTS:

The following diagram will be suggestive of the process of interaction and selected tasks required for the diffusion of R & D products by a Consortium of State Education Agencies. The groups involved and some individual functions are explained on the next page.



CM - Consortium Management - the Chiefs of the various SEA's or their proxies. Appointed Task Forces.

CS - Consortium Staff - the paid staff of the Consortium.

CN - Consultants - Consultants in dissemination and management.

SA - State Advocate - persons in the SEA or other state agency that would be an advocate for a particular R & D product.

LA - Local Advocate - some persons at the local education level that would be an advocate of the product.

CR - Consumer - ultimate user of the product.

CM
TF
CS
CN
CONSORTIUM
SA
STATE EDUCATION AGENCIES
LA
LOCAL EDUCATION AGENCIES
CR
STUDENTS

Summary

The Consortium with the assistance of consultants enlarged upon the dissemination and diffusion plan of the Appalachian Laboratory. It redesigned the plan, included the ultimate consumer from as early as the initial idea stage of development through adoption.

The plan as finally designed took into account the fact that the characteristics of a product affect the degree to which it will be acceptable by a school system. The characteristics noted are: relative advantage; compatibility, complexity; diversity; communicability. The designers developed a plan that took into account the effect of innovativeness on a local education agency's decison to accept, reject, pilot test, or diffuse.

Three key statuses designed by the developers for implementing the Consortium diffusion and dissemination plan were:

(1) Task Forces
(2) State Advocates
3) Local Advocates

Task Forces are established to work as special units through the various stages of development and adoption. State Advocates are individuals working within the respective state departments of education. It is expected that: (1) they will be strong supporters of the innovation; (2) they will have strong ties and relationships with the Chief State School Officer, or his/her key staff and those determining goals and objections; and (3) they will have effective ties with the local educational agencies and key decision making administrators. Local Advocates are individuals chosen at the implementation level by the respective state departments of education State Advocates. They are to perform at the local level the same functions as the State Advocate at the state level, plus one additional function. It is expected that the Local Advocate will through contacts, influence, etc., see to it that the concept, innovation or product is both disseminated and diffused. Unless the innovation is for the level of a state department of education, then diffusion is not a function generally performed by the State Advocate. The State Advocate hopefully can help establish all of the pre conditions for dissemination and diffusion, and even disseminate, but the latter, diffusion is expected to reside with the Local Advocate.

SECTION II

Schematic Review of the Literature:

The main purpose of this review of the literature is to look at what has been done from a bibliographic point of view and to utilize the information gathered and in light of the findings to evaluate the theoretical soundness of the Applachian Consortium Diffusion and Dissemination Plan. However, there are some other equally important reasons for reviewing the literature. One, to give what is perceived as a new approach to looking at what practitioners have performed and present it in a perspective that may be more meaningful for the working members of the field. Often, practitioners have a tendency to simply develop without benefit or bibliographic research. From the point of view of a developer, this might make sense. Especially since, often, the literature does not relate to programs that have failed and why, as much as it deals with programs that have more or less succeeded and why? The research in the field is generally presented in non-practitioner oriented issues or language. The practitioner has in many instances, found little that he could immediately apply or that might be of value to him. Another factor is that in the field of education, the practitioners, be they teachers or educational innovators who are working within the school systems, have not been educated to remain current with the research in their field. All of these factors contribute to the limited use of bibliographic research. It is hoped that what is done and presented here, may begin to give a new perception and value to bibliographic research as utilized by the practitioner in the field of diffusion and dissemination. This is not, nor is it intended to be, a definitive review in any sense.

Probably the best compiled review of diffusion and dissemination literature is that performed by Doctor Ronand G. Havlock.

However, this review like the others is a functional analytical approach, i.e. analysis of what is being or has been done by those in the field. Present reviews of Dissemination and Diffusion literature are not correlated to a systematic or systems view of planned versus non-planned change.

It is suggested that an approach which related to the planned versus non-planned change and which focuses on process would be of greater value to the practitioner. By and large, reviews of the literature are not written by the practitioner, but research persons and other aide-de-camps. The researcher must be able to communicate to both his peers and practitioner in a language that is acceptable by both.

If one were to think in terms of a continuum, at one end would be educational innovation change which was planned from conceptualization to diffusion, and all within the educational institution. At the other end, would be the serendipitous change which comes about accidently, or is a reaction to some unplanned for stress and where the assistance comes either from within or without. Much of the analysis found in reviewing the literature, would fall between one of these extremes and the other. Probably the hardest place to find on the continuum would be the extreme left or total planned change from within. It is suggested that the works of Gubba, Clark, and Havlock, who see the Research and Development Centers as places of planned innovation change, was as far left as existed in the literature until this project. The Federally funded Research and Development Center is ancillary to the ongoing educational system and is not part of the system's initial goal setting, objective determination, and innovations possibly related thereto. Nevertheless, the Research and Development Center is the closest non formal educational system to planned change.

The significant difference between a Research and Development Center and the Appalachian Consortium, is that the Consortium is within the educational establishment. It is not simply part of the educational establishment. It is the educational establishment! It does not have the same problems as the Research and Development Centers of convincing the local educational agencies of the necessity or value of its products. It also has the capacity to be part of the long or short-range educational planning. Also, it can be self-generating by its own educational constituents, the local educational agencies themselves. The significance of these differences should be clear, particularly with regard to planned, versus non planned change. It is in this sense that the Appalachian Consortium fits along the continuum further left than the Research and Development Centers, but it is not the ultimate or alpha point. The farthest left would be to have the diffusion and dissemination capacity ongoing with the Local Education Agency itself.

As the opposite end of the "planned change" would be what has been classified by Rogers and Havlock as the "Social Interaction Model." The SI Model relies most heavily upon innovation and its acceptance based upon the social ties and relationships of individuals and groups. The stress is on the ties between the innovator and the user within the educational system. The user looks to significant others within or without the field. "Significant others" is predominantly determined by personal relationships and social interaction. Clearly, there is limited initial planning with the Social Interaction Model and any ability to plan from the outset is highly suspect.

The third type of model is one which has often been linked with the names of Ronald Lippitt and Matthew Miles, the "Problem Solving" model. The PS model falls someplace between the Research and Development model on the left, and the Social Interaction Model on the right. The PS model is probably the one most often found operating within the the existing educational system. For example, a problem or issue occurs at the local educational system level which effects the system's capacity to perform, or perform as effectively as desired. In the process of attempting to solve the problem, an educational gatekeeper becomes aware that innovative concepts, documents, or devices are necessary or could help solve the problem. The system reaches out and hopefully draws in that particular product, or what have you, and uses it to solve or partially solve its problem. The individuals within the educational system who reach out may have gone to some organization, consultant firm, or individual, which or who has diffusion or dissemination capacity. However, the institution may have by-passed such and gone to another Title IV practitioner, and from him gotten what was needed. What also needs to be understood in this model, is that the members of the educational institution are the ones who determine what their needs are, and from that stage forward they plan their next moves with the help of others, including outsiders if need be. The external help in most instances is non-directed and the services performed are pre-determined by the institution. As can be seen, this model is closer to the right hand "Non-planned Change" than to the left side of the continuum.

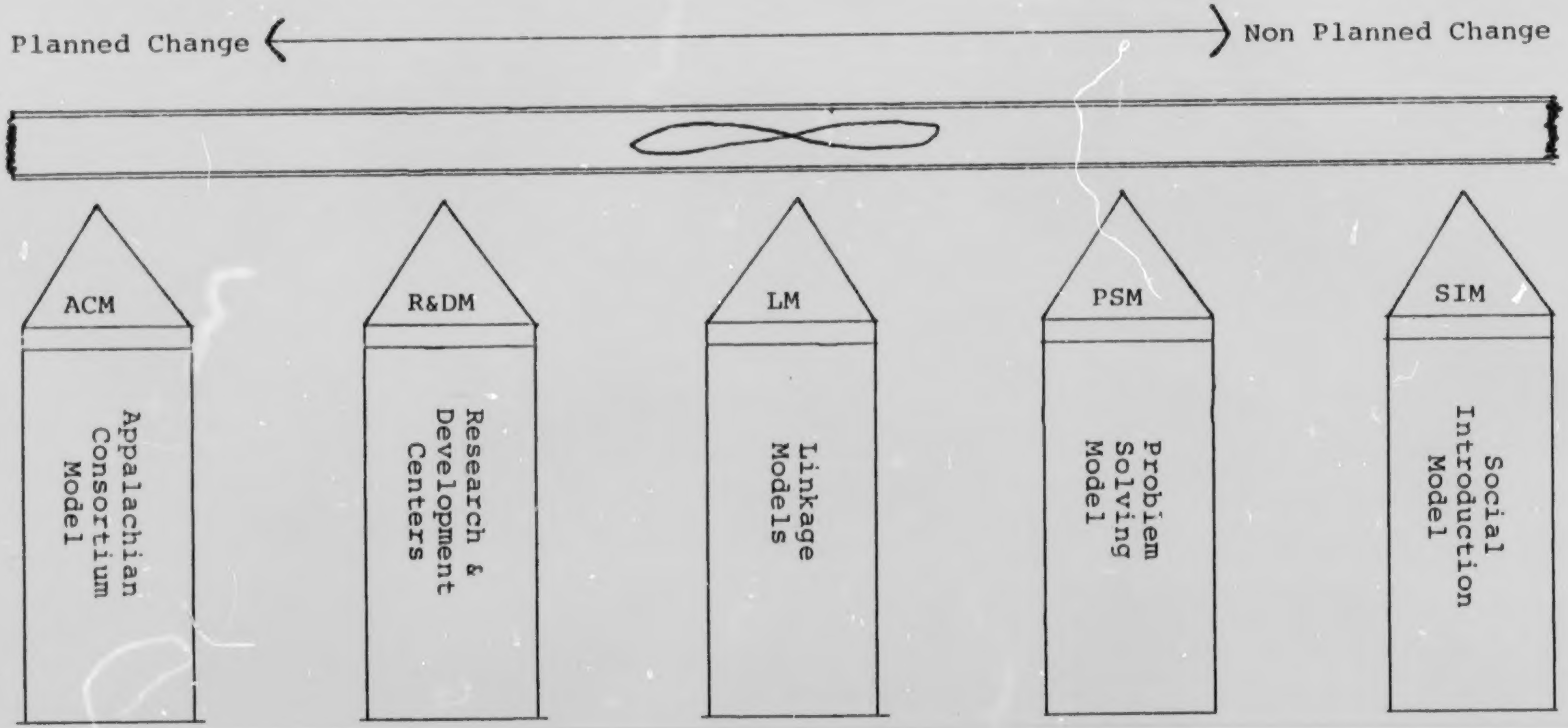
Finally, there is a fourth model that is described by Havlock; that model is called the "Linkage" model. The Linkage model is close of the Problem Solving model in that the educational institution discovers that it has a problem that it must solve. It differs from the Problem Solving model in that the institution develops a linking relationship in which there is fairly strong reliance upon professional outside help in directing it towards its problem solving. This linking relationship is directed by the educational institution and thus, for some period of time, it becomes an ancillary institution. Of course, it provides services to others as well. In spite of this and its possible short-lived linkage to the educational system, it is apparent that it is closer to the Problem Solving model, than to the Social Interaction one.

Certain combinations of models might now be noticed as possible. For example, it would be possible to apply the Research and Development Center as a linking agent and thus combine two models into a new one, R&D with the Linkage model.

What is observable is that if one views the research in terms of the following figure, it makes more practical sense to the potential user.

FIGURE 1

A CONTINUUM: PLANNED TO NON PLANNED CHANGE


Planned Change
Non Planned Change
ACM
Appalachian Consortium Model
R&DM
Research & Development Centers
LM
Linkage Models
PSM
Problem Solving Model
SIM
Social Introduction Model

DISSEMINATION & DIFFUSION MODELS

Comparative Analysis:

If research is put in terms that can help practitioners make decisions, then they are not only more likely to employ it, but they are less likely to duplicate the mistakes of others. For the purpose of this project, however, the bibliographic search revealed that the Consortium consultants designed or refined a dissemination and diffusion plan which meets most of the conditions established by researchers as essential for an effective plan.

Comparing the project design with the bibliographic research makes it apparent that the Consortium design has taken into account most of the significant information documented concerning dissemination and diffusion. The plan clearly has attended to most of the characteristics required for adoption. It has coped effectively with the issue of innovativeness. The plan had at least State Department of Education personnel working on the project from initial stages of development.

It is equally clear, however, that local educational personnel were not initially involved in this project from the outset. One cannot categorically or effectively show the end result of this omission. What has been noted is that involvement on the part of the States was not consistently high, and in some instances was exceedingly poor. If local involvement had existed, since that is where the ultimate consumer is, perhaps there would have been sufficient positive reinforcement and greater desire, resulting in higher performance. Since the problem or retardation more directly offsets the Local Education Agency, their interest clearly would have been as high if not higher. (Note earlier, Chapter I where States moved to the EWS product in part, because of potential suits by parents at the local education level).

If the developers of this plan had paid more attention to the importance of local involvement, as recorded in the literature, the overall results of this project might have been more positive.

The plan as designed gives appropriate emphasis to the utilization of local education personnel. Unfortunately, this was not sufficiently carried out during implementation.

Comparing results with literature findings would appear to support the literature. If high level involvement and commitment is wanted, then local education personnel need to be commited to the project and involved from initial phases.

It seems equally clear that proper utilization of research could significantly improve the quality of not only project designs, but aid in decision making with regard to critical aspects of implementation. Often one finds that implementation differs from the design. One reason may be that implementors when pressured by pragmatic day-to-day concerns, make decisions without benefit of research findings indicating critical implementation factors, versus less critical ones. Giving such information would significantly improve the probability of find designs being implemented with effective results.

Affect of the Information & Communications System Division:

It is apparent whether intended or not that the National Institute of Education has been moving towards having school systems, particularly the State Departments of Education develop an internal dissemination and diffusion capacity. It is also apparent that it is intended that the State Departments of Education move more and more towards having dissemination and diffusion built into short, intermediate and long range planning as related to objectives. This, of course, means that the movement is towards, more and more intensive planning from beginning to end with regard to dissemination and diffusion. It also means the utilization of external specialists only where necessary, but not as generalists; thus, one can see the potential conflict with the existing Research and Developments centers unless there is a shift on the part of one or the other.

The National Institute of Education's actions are beginning to return to the educational system all that it once possessed and produced for itself. If one follows what is beginning to happen to a logical conclusion, then the education system will be moved to where it will more and more produce all or most of its general needs rather than as it does now. At present most of the educational systems general and special needs, are met by profit making institutions or nonprofit organizations such as publishing houses, consulting firms and in the case of the latter organizations, Research and Development Centers, colleges, universities, and foundations.

The relevance of this to this project should be apparent. One of the critical factors to be evaluated was the degree to which State Departments of Education formed a Consortium and became independent of National Institute Education and self-sufficient. Here, one sees the move towards developing independence within the educational establishment, if only with regard to dissemination and diffusion.

SECTION II

Evaulation Goals and Recommendations

The final evaluation design had three goals:

I Determine the degree of institution building and the process and influence of same;

II Determine the Consortium's product and diffusion strategy;

III Determine the intermediate impact of the Consortium's diffusion and dissemination model (on the user and R&D System).

I Institution Building

Little, if anything was found to distinguish the Appalachian States participating in this adventure with regard to education myths and realities. In terms of freely moving with this particular innovation (diffusion and dissemination strategy), two states stand out for their commitment, West Virginia and North Carolina.

It is equally accurate to indicate that differences in terms of existing communication channels between the State Education Agencies and Local Education Agencies was clearly noted and presented. In some instances, constantly open channels of communication were found between State Education Agencies and contacts at the local education level. In other instances, it was found that this Consortium project was opening previously closed or seldom utilized channels between the SEA and LEA.

Besides this type of difference, it became clear that channels used by LEA's were more directly related to implementation levels, whereas the channels of SEA's are more often tied to intermediate administrative levels. The significance of this was dealt with in the review of literature chapter.

It was also found that States differed significantly in terms of the amount of human and non-human resources that they were willing to commit to the project. There also appears to have been limited competition between the States. Some States clearly had better existing communication chanels with Local Education Agencies than others. There were different degrees of expertise offered and attitudes shown. The tables and information given in the Appendices established this.

Within the Consortium, there is no evidence that any particular State tried to organize the others, and lead them in institution building. On the contrary, all evidence indicates that the Executive Director of the Consortium was the dominant force and through his management, social-psychological and political skills moved the State representatives to his position. The respect with which he was held, was such that after his leaving for another position, and another person was brought on board to perform most of the Director's duties, the outgoing Executive Director still maintained the title, although another was doing the work.

To almost no degree, did the Consortium establish direct ties to the numerous Local Education Agencies in each of the respective States. It did, of course, have an ongoing communication with the R&D Laboratory.

It is not difficult to establish major reasons for the demise of the Consortium. It lost its founding director during its initial period of birth and crisis. From the outset, it was only partially founded by its member States. There was no logical reason for the AEL to work hard to make the Consortium work since: (1) it was struggling with its own financial and client problems, and (2) to the AEL, the Consortium could play its most significant function for the AEL as a political appendage of the AEL with clout in Washington, rather than as a patented rival. The Consortium maintained no staff persons who had the responsibility of writing proposals, reaching foundations and/or potential clients who could keep the Consortium alive and self-sufficient. All of its efforts in this area, had a secondary or tertiary priority. When one adds the Consortium difficulty in effectively articulating its product output, timetable, etc., and the product changes, all of these factors with which it had to cope, plus the apparent nonexistence of any States being desirous and strong enought to move the Consortium to more appropriate behavior towards independence, the actual demise of the Consortium is understandable.

Affect of the Consortium on States

The affect of the Consortium on the Departments of Education and Local Education Agencies is clear in some areas and vague in others. Certainly, all of the States participating as members of the Consortium became familiar with the concept of the diffusion and dissemination plan. They were also directly educated as to the potential use and how it would reduce the time it takes for an idea or innovation to reach the implementor and be applied. Obviously, such knowledge is of importance and can be used for many purposes in the future.

One would certainly wish to look and determine whether or not, any or all of the respective States establish, alter, or revamp their existing channels of communication and/or diffusion and dissemination within their respective States. It would be of interest to note whether or not these changes are valuable enough to meet State needs as the educational needs and audiences shift or change. It is, therefore, recommended that a questionnaire be developed and distributed to the State Educational Agencies to determine the degree to which the Consortium with regard to its diffusion plan has any intermediate or potential long-range effect within the State.

Clearly, the States which made up the Consortium are aware that for such an institution to work, there must be equal contribution and commitment by all participants. The members have more likely than not, found that their interaction with each other, in many cases for the first time, offers a number of positive aspects and results. Such may well lead them to continue informal relationships with regard to innovated concepts in the field of education and/or at some future date to develop more permanent ties. Those States such as West Virginia and North Carolina, and some others which showed the greatest amount of behavioral commitment, have probably both learned the most positive features in this diffusion and dissemination plan, and how to more effectively communicate or transmit information and materials to the local educational users. They, like all States, also have a better perspective with regard to costs for diffusion and dissemination and, therefore, should be less frightened about bringing such a program together within their own State structure by using personnel in existing departments and divisions at the State and local levels. Unfortunately, the full utilization of Local Advocates and State Advocates was never fully implemented, thus the full value of such functions is still to be tested.

However, the evaluator, in the process of carrying out the evaluation of the implementation of this project, can readily attest to problems that were encounted that could have been avoided, had there been LAs. If such persons had existed, one would need to call that individual's office rather than a number of different offices, receiving limited information from each, if any information was received at all, regarding awareness and actual implementation information, and data regarding the program at the local level. Clearance of questionnaires and material would more readily have been attended to, and a more systematic approach than that found could have prevailed, if someone at the local level had been involved from the beginning, and had special local tasks to carry out. To be sure, there are other significant reasons why the LA should have been tested, but what happened without them, gives the evaluator high suggestive information as to how effective they might or could have been in diffusing, disseminating, collecting and retaining information, data, etc. The next section suggests a number of additional recommendations other than those presented above.

Institution Building: Recommendations

(1) The Consortium concept makes much pragmatic sense and offers the possibility of inter and intra diffusion and dissemination that might be more in line with regional educational needs, than merely having a State or local diffusion plan. However, for it to work effectively, it is recommended that all funding come from a single source for a minimum of three to five-year period at a diminishing annual rate.

(2) It is suggested that annual reports be mandatory, along with two regular annual evaluations. One evaluation should be a third-party evaluation for the three to five-year life of the Consortium. The evaluator would be responsible for both formative and annual summative evaluation. These reports and any session should include both Consortium and NIE staff information persons. The Consortium should also have to perform its own evaluation and provide reports to NIE. It is clear that a Consortium can develop a potentially effective diffusion model, but much needs to be done to insure information regarding implementation and impact. Obviously, funding would be based upon acceptance of the diffusion and dissemination model proposed.

(3) It is recommended that NIE not concern itself with the product or innovation, but only the model.

(4) It is also recommended that the headquarters be in a neutral building where all trapping and symbols are those of the Consortium. Staff positions and job descriptions should be reviewed and approved by NIE in order to maintain consistency with regard to cost and funding, as well as Consortium outreach to local education agencies, foundations, proposal writing, etc.

Product and Diffusion

The diffusion and dissemination model and strategy was initially developed in part by the AEL. It was significantly added to by consultants employed by the Consortium. TheEWS, although a product of the Consortium, in fact will be looked on as an outgrowth of AEL to produce a product related to the handicapped. Many Appalachian States were also of this persuasion. Thus, there was accord by all parties to move in this direction. The product clearly was wanted by the States, perhaps in part because a series of suits that had been instituted against some States because of alleged inadequate attention to the handicapped.

There is no correspondence or information gathered that shows that the States and/or the Consortium viewed the EWS as a key to developing Consortium independence. This does not mean it was not in their thinking. The problems confronted from the outset by the Consortium with regard to its product, consumed all of its focus and effort for the most part.

Long-range or even intermediate-range planning on any significant scale does not seem to have taken place. There was a sence of immediacy and, "the now." The first product was shot down, MPEP. Its Deputy Director left during this period; the Consortium was having conceptual difficulty with timeliness, product output and definition of terms; the diffusion plan, itself, was still being completed. The perceived MPEP product and timeline for performance, along with outputs and the model, were all being critiqued. At the same time, this meant that the AEL was having funding problems since MPEP was its product, and as such, could effect its attitude and behavior towards continuing to pay half the Consortium costs, as well as maintaining itself. The Consortium members now had to juggle three hats - Executive Board Members of: (1) the AEL; (2) of the Consortium; and (3) of their respective States with potential conflicts of interests presenting themselves. The Executive Director began indicating that he might be moving to a new position. All of this took place within the initial period of the Consortium's life.

Under such conditions, it is understandable, especially with so limited a staff, to find a lack of effective long-range planning. In particular, since institutional independence was not the mix which brought the States together, nor the concept that became paramount in their thinking or behavior, this factor made it difficult if not impossible for institution building to grow in importance or become a reality.

Throughout, there was a maintenance of a "Federation of States" concept. Whether this was because each State was an equal member of the AEL Board of Directors, and as such, the superior to even the Consortium director and the AEL, itself, is not known. Clearly, the Executive Director related to all

Appalachian States as equal and was on a first name basis with the highest educational official of each of the respective States. There is no doubt that by design and need, the Executive Director was an effective utilizer of the wide-range of social dynamic skills in interrelating with those individuals and personally keeping the structure together. At most meetings and any correspondence seen, there is a general deferring to the Executive Director. It is equally apparent that the Director's approach never pushed States, or the AEL, to any extreme and personal diplomacy was a constancy.

This led, as would be expected, to the natural position that the EWS as developed by the Consortium had significant room for State alteration and/or rejection. Clearly, any impact was equally varied from nonexistent to probably significant.

The degree to which the Executive Director's approach affected the commencement date of this program cannot be reliably stated; however, there is no doubt that the program started almost a year late affecting the capacity to determine the degree of implementation, and other evaluative aspects of the project.

Certainly, all evidence indicates that the Consortium developed a potentially effective implementation plan. It is also apparent that, based on the degree of commitment, States utilized the materials and self-initiative with the potential framework designed. The dissemination and diffusion strategy was based on first determining: (1) the audience to be reached; (2) developing materials designed for such an audience; (3) the media institutions and organizations through which the potential audience could be reached; (4) establishing production timetables in relationship to the best times to reach the intended audience; nd (5) maintaining a flexible system that would permit alterations within States, based on known or developed individual differences or needs. Important is the fact that the product or products were developed under the auspices of the Consortium with input from the States, thus maintaining a centrality of intent, purpose and performance. Obviously, the concept of having an in-State person, who is most familiar with the activities and has access to those powers required to get things done, was a valid concept. Unfortunately, as noted in this chapter, this appears to have been honored in the breach rather than in fact.

Product and Diffusion: Recommendation

Specific designed strategy should be implemented as designed. Each aspect of strategy is part of the whole. All participating States should have to meet the same minimum standards of performance. It is, therefore, recommended that the Consortium evaluate the preimplementation factors. It is also recommended that an external evaluator be built into the project from the outset, rather than from the implementation phase only.[1] It is

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1. (See prior recommendations).

also recommended that a three to five-year contract be signed with each. The Consortium should have to present an annual updating and accounting of its institution building timeline. This should include its outreach to local education agencies, foundations, etc. It is expected, however, that all of its activities should predominantly be in one or two areas: (1) developing diffusion and dissemination strategies and plans for others with consultation; (2) performing the complete service of providing the system with the necessary idea, concept or innovations, and then developing the plan and implementation techniques and monitoring same. The intent is to generate an institution which provides a necessary function in the area of diffusion and dissemination. Thus, it becomes possible to see the designing of two types of diffusion and dissemination plans: (1) that utilized within the initial States regarding a particular product; (2) the diffusion and dissemination plan designed to persuade others that they need, at least, the services of an organization that can develop an appropriate dissemination and diffusion plan for them that will solve some primary problem. Thus, there would be a study within a study. This latter objective clearly has two aspects: institution building, and another form of diffusion and dissemination model. It is also recommended that the monitoring of this achievement would be the function of the external evaluator.

Reporting is considered vital to such a project. It is, therefore, recommended that both the Consortium and external evaluator be responsible for preparing three types of written reports a year: (1) a monthly memorandum; (2) a quarterly report; and (3) a final report. It is also suggested that at least two meetings a year be held with the evaluator and Consortium. The first meeting would be at the end of the six-month period each year, and the second, would be after submission of the draft of the annual report, but prior to the final report. It is also maintained that at the initial meeting at the commencement of the project, functions, roles, etc., would be clarified and an effective, but appropriate relationship between the evaluator and Consortium be immediately established. If possible, the designs and plans of each should be shared with the other prior to the meeting, which might be at least an all-day meeting. All States participating in the project should be informed and agreeable to the evaluator's function where they are concerned, and at the commencement of the project. The recommendation made with regard to ICS finding a way to effectively and efficiently disseminate and diffuse research in the field of dissemination and diffusion to educational systems is in summary renoted here.

Finally, it is equally apparent from this project that the division of NIE, Information and Communications Systems is moving the educational system along a continuum towards planned change. That planned change is more and more being performed by the educational system's in-house persons due to the RFP's of the ICS division of NIE. It would appear that the movement is back towards a basically efficient self-contained educational system that produces more and more of its own needs. If such is the case, then another project should be considered for funding a Local Education Agency, which agrees to build in a dissemination and diffusion capacity and incorporate its use, to the degree possible and effective, in all of its goal and objective settings and complements same. Such a study would be well worth monitoring and evaluating. It would also mean that a new model would have been created that would be more towards "Planned Change" than non-planned, and thus to the left of the Appalachian Consortium model and the R&D Center. All of these recommendations are an outgrowth of materials presented, experiences encountered, and analyses performed in preparing this final report.

APPENDICES

APPENDIX A-1

EVALUATION DESIGN

FOR

IMPACT OF DISSEMINATION:

CONSORTIUM, APPALACHIAN EDUCATIONAL LABORATORY

SEA, LEA NETWORK

ELSBERY SYSTEMS ANALYSIS, LTD.

EVALUATION DESIGN

IMPACT OF DISSEMINATION:
CONSORTIUM, APPALACHIAN EDUCATIONAL LABORATORY,
SEA, LEA NETWORK

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I. INTRODUCTION

A Consortium of State Departments of Education in the Appalachian Region was incorporated in April 1973, consisting of representatives from seven states -- Alabama, Kentucky, Ohio, Pennsylvania, Tennessee, Virginia and West Virginia. A Board of Directors, made up of the chief State School Officers of the seven States, sets policy for the Consortium and appoints an Executive Director to manage its day-to-day affairs. Under a current grant from the National Institute of Education, Office of Dissemination and Resources, the Consortium is attempting to serve as a diffusion and feedback mechanism for research and development products and services. The proposed outcomes of the current program are specified in the grant proposal as follows: "An independent Consortium of State Departments of Education in the Appalachian Region capable of: a) disseminating R & D products, b) providing systematic consumer input which will assist those engaged in educational R & D to better assess consumer needs and solicit consumer input for formative evaluation purposes, c) providing a prototype dissemination mechanism to be evaluated."[1]

A. SCOPE OF WORK

The overall purpose of the evaluation will be to determine whether the objectives of the Consortium have been met and to examine the input, process and context variables which account for Consortium affects and effects. As specified in the Scope of Work outlined by NIE, the evaluation study will be designed to:

1) describe and document Consortium activities by States and as a whole, including a) problems and successes, b) project participant interactions, and c) changes in project activities;
2) identify, document and describe variables that are producing effects;
3) investigate relationships among variables that can be altered to improve Consortium project performance;
4) determine relevant outcomes associated with the initial year of the Consortium project;
5) report results of evaluation study to NIE staff and to the Consortium and to State education agencies.

The work statement also indicated that the potentially relevant dependent variables for the evaluation study include, as a minimum:

1) impact of dissemination activities on LEAs;
2) influence upon R & D agenda;
3) autonomy of the Consortium.

These dependent variables which conincide with the major objective of the Consortium must be explored more fully.

B. IMPACT OF DISSEMINATION ACTIVITIES ON LEAS AND INFLUENCE UPON R & D AGENDA

The impact of the program on LEAs and the influence of consumers on R & D agenda are stated as independent goals and separate dependent variables. However, they are discussed together here because they are closely interrelated. Both impact and influence can be viewed as direct and logical outcomes of a two-way dissemination process; for feedback to take place there first must be some degree of impact. However, it is completely possible to have impact and no feedback; we would then be talking about a one-way transmission process. Since the major purpose of the Consortium is to establish a two-way process, both of these goals are major indicators of the success of the particular diffusion strategy adopted. The basic assumption here relates the diffusion apparatus to the product and further seeks to examine the type of dissemination activities in relation to the type of product.

However, the evaluation is not only concerned with the effects of diffusion, but it is also concerned with the process of diffusion and the variables that influence the process. The outcomes of any process, in turn, are directly affected by the degree of implementation. Therefore, an understanding of the problems involved in the implementation of a diffusion plan is necessary for a successful evaluation.

At the present time, the diffusion mechanism to be used in the program has not been developed by the Consortium. Thus, the identification of the product or products to be diffused, the target audiences who will receive them and the medium or channels of communication that will be utilized to convey the information have not been specified. At this stage, while there is agreement that the area to be covered includes early childhood education and special programs, the focus is on the steps needed to establish the Consortium as a diffusion mechanism for R & D products.

The extensive literature on dissemination and utilization of knowledge for change has indicated that the outcomes of dissemination can be affected by any component of the dissemination process. For example, the outcomes of dissemination can be affected by: 1) the nature of the product and its costs (financial and personnel requirements); 2) the information contained in the message, its quality and its ability to convince; 3) the way the message is transmitted, the personal or impersonal nature of the medium used; and 4) the characteristics of the target audiences selected, their perceived need, their inclination towards change, their ability to introduce change, and generally their position in the educational structure in their local area and the State.[2]

The last point clearly emphasizes the fact that a given dissemination plan does not operate in a vacuum. The literature on innovation in educational practices, although not definitive, does suggest that the factors affecting change are numerous and operate within every level of the educational system and the environment in which it is located -- State, region and local area. The factors mentioned include, among others: the bureaucratic nature of the system; the formal and informal power structure; the power and prestige of the State Education Department and its inclination towards change; the personal characteristics, experiences and social networks of administrators, supervisors and teachers; the norms operating on different levels; the financial resources of the system; the past history of the system regarding educational innovations; the current orientation toward change on the various levels; and the urban or rural status and cosmopolitan or traditional orientation of the community.[3] There are significant differences among and within each of the seven participating States in terms of each of the above variables. This is not at all surprising given the great variations in history, size and demographic factors found among the seven States and the regions and locals within each State. It will be necessary through a socio-anthropological approach to identify the various differences among the seven States, and the differences among the target and non-target areas within them. These identified differences must then be related to the degree of implementation of the diffusion plan and the expected outcomes of impact and feedback. In addition, as noted earlier, there is need to assess the diffusion plan itself in terms of the product and its objectives, relating both to the educational areas designated as focal.

Because the role of the SEAs is crucial in the program design, special attention will be directed toward identifying and describing the actual role played by the various State Education Departments in the program. It is possible that although all of the SEAs have joined the Consortium and agreed with the program objectives, there may be real differences between what Erving Goffman has referred to as public actions in the "front region" of the Consortium and private actions in the "back region" of the State.[4] If "front region" willingness to participate does not match "back region" willingness, then the dissemination process will probably never be implemented in a given State. It is, therefore, important to determine the front and back region willingness of each SEA to participate in the program, and the factors influencing this variable. Questions to be answered would include: is unwillingness to actively participate due to attitudes about the ultimate or intermediate goals of the program; attitudes concerning the Appalachian Educational Laboratory; real or perceived lack of power of the SEA to affect any influence on LEAs; unavailability of staff or inappropriate staffing of the program; lack of perceived need; opposition to change in general; and/or to other factors? In addition, the evaluation will determine whether identification of the factors accounting for lack of participation helps the Consortium to modify the behavior of the given States.

The above discussion clearly shows that variables which influence the degree of implementation and acceptance of the dissemination process will affect directly and indirectly the impact of the dissemination activities. This leads into the crucial question of what is meant by "impact" on LEAs and by "influence" of consumers on R & D agenda.

Again, the goals are in process and are awaiting specification. Therefore, questions such as the following are still unanswered: 1) What will the dissemination plan be designed to do? 2) What information will the Consortium want to impart? 3) What attitudes will the Consortium want to inculcate? 4) What behavior will the Consortium seek to induce? 5) Which goals will be given the highest priority?; In terms of goals: a) What product is proposed for actual adoption, or what programs are suggested to stimulate awareness and interest for plans for adoption?; b) What is suggested to open communication downward and upward?; c) How can there be increased cooperation?; d) What is needed to achieve a viable dissemination process?; e) What is required to achieve feedback, etc.? The final design of instruments measuring specific impact and feedback goals must, of course, await answers to these questions. While the parameters of the program relate to the role of the Consortium as the instrumentality for dissemination of R & D products to all educational bodies involved, the underlying purpose needs to be stated: whether these series of techniques will enhance the ability to meet the needs of the children. The issue relates to the substance of the function of the product.

The evaluation will seek to determine not only whether specific goals have been achieved, but it will also attempt to pinpoint the structural and organizational factors influencing the success or failure of the dissemination efforts. Furthermore, it will attempt to determine which elements in the program succeed under what conditions and which elements fail under what conditions. For example, if one of the major goals is adoption of a specific produce we would attempt to measure not only if there has been adoption, but what characteristics of the product, of the consumers and of the diffusion plan lead to adoption or rejection.

One of the major concerns of the evaluation is whether adoption itself should be the main criterion of successful outcome. Most diffusion change models indicate that adoption itself is the next to final state of a long process establishing need and validity and including awareness, interest, evaluation, trial, and installation. Adoption is then followed by institutionalization. It is the responsibility of the sender (in this case the Consortium) to create awareness through the distribution and dissemination of information, to build interest, and to provide for positive evaluation and conviction through demonstration; and to encourage and make feasible trial, installation and adoption by making equipment and material available and providing training and support. At all points feedback from the consumers result in new information, procedures and modifications.[5] As Paisley has indicated, often behavior changes (in terms of trial, installation and adoption) lag far behind changes in knowledge (awareness) and attitudes (interest, positive evaluation and conviction). In a short time span (such as the 16 months of this program) he would not expect much behavior change to take place. He suggests that if you have positive knowledge and attitude change you can assume that behavior change will occur at some time in the future. By assessing the degree of knowledge and attitude change you can, thus, indicate the probabilities that behavior will follow later.[6] This evaluation will use the multi stage diffusion model and will determine the position of various SEAs, LEAs and schools within this model and the reasons and factors leading to this position. We will also attempt to determine the likelihood of future movement or stability.

In summary, the evaluation of the Consortium as a diffusion and feedback mechanism for R & D products and services must be a complex multi-level interactional process evaluation. The evaluation must view diffusion as a multi-state process and be able to assess the efforts at diffusion as well as the effects of diffusion. Moreover, it must be able to identify and assess a multitude of factors intervening on all levels of the educational system and the environment of which it is part. Finally, the evaluation plan must be flexible so that it can adapt to any plan that is decided upon and any changes that occur in the plan during the course of the project. While remaining flexible, the evaluation must insure assessment of the influence of each part of the diffusion mechanism on the outcomes of awareness of the product, interest in the product, adoption or rejection of the product, and feedback.

C. AUTONOMY OF THE STATE CONSORTIUM

The Consortium of State Departments of Education in the Appalachian Region was developed under a contract between the United States Office of Education and the Appalachian Educational Laboratory. There has been and continues to be a close working relationship between the Consortium and the

AEL. The Consortium has been able to take advantage of the staff, facilities and supporting help provided by AEL. The Laboratory is the sub-contractor of the project, providing administrative and logistical support.

Because the independence of the Consortium has been stressed in the project proposal, it will be important to assess the degree to which "ultimate goals" (those related to what the program is hoping to accomplish in the long run) and/or "intermediate goals" (those related to the means of obtaining ultimate goals) reflect the influence, interests and perceived needs of the Consortium as a whole, its individual members and the Laboratory. The congruence or lack of congruence of goals among the Consortium, its member States and the Laboratory might have considerable effect on the degree of cooperation and effort expended in achieving the outcomes of the dissemination project.

Moreover, the relationship between the Consortium and a sub-contracting agency, makes it important to determine the attitudes of all member States towards the agency, AEL. Negative attitudes toward the Laboratory and/or its work might also have effects on participation and, hence, the outcomes of the action program.

Furthermore, because the sub-contracting agency as previously been active in dissemination of its products, it will be important to determine whether and to what degree the current action program differs from past activities of the Laboratory. Attention will be directed to SEAs and/or LEAs and schools that have existing close relations with AEL and have already adopted the product which will be disseminated under this study grant. Attempts will be made to assess the factors involved in influencing these schools' awareness, interest, evaluation, trial, and adoption of the product. Their feedbacks concerning experiences with the product will also be examined to determine what effect this feedback has had on the Laboratory in terms of modification of the product and the diffusion process in general. The differences and similarities in the diffusion process used in the past and during this study will then be assessed. This examination is important for evaluating the objectives of the program as a whole as well as the specific question of autonomy.

Finally, and perhaps most importantly, all participants in the program will be asked to assess the importance of this goal of autonomy. Their attitudes towards the necessity of achieving Consortium independence and the extent to which such autonomy has been achieved will be carefully looked at to determine whether the success or failure in the latter is related to the perceived importance or lack of importance of this goal in particular.

In summary, as the above discussion indicates, the autonomy of the Consortium may be viewed both as a dependent and as an independent variable.[7] Autonomy may or may not have considerable impact on the other outcome goals of the project.[7] It is quite conceivable that the Consortium can serve as an effective diffusion and feedback mechanism for R & D products and services without achieving autonomy. In such a case, autonomy might become important only as it effects the development of the Consortium as a prototype mechanism in other regions. The final evaluation report will address this subject in detail.

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II. GENERAL APPROACH

A. BASIC PRELIMINARY DESIGN OF THE STUDY

The evaluation of the Consortium will be a one year full scale process and formative evaluation. Essentially, we will assess the steps determining the establishment of the diffusion mechanism and the procedures of the dissemination program and relate these procedures to the product and the outcomes. At the same time we will feed back observations and evaluations to the personnel running the program during the course of operations.

A multi-operational approach towards the assessment of goals, procedures and outcomes will be adopted. Results from in-depth qualitative interviews, field observations, participant observation, survey techniques, structured instruments and documentary analysis will be integrated. The evaluation design thus relies upon qualitative as well as quantitative information. The distinction between "soft" and "hard" data is recognized and the values of each are not confused; each has a role that the other cannot fulfill. Statistical tools will be used to the full where appropriate, but such information will be combined into a whole picture by the use of qualitative information.

At the present time, Consortium goals are in process while the program explores the possibility of the Consortium acting as the diffusion mechanism for dissemination of R & D products. The diffusion plan to be used in the program has to be developed. The identification of the product or products to be diffused and the target educational bodies or personnel who will receive them, as well as the channels of communication that will be utilized have not been detailed. In a sense, at this stage, the program has similarities to a feasibility study together with a functional proposal. Therefore, it is necessary for the evaluation plan to be flexible so that it can adapt to any plan that is decided upon and provide for any changes that occur in the plan during the course of the program. Since the Consortium is essentially a pilot endeavor and is experimental in nature, it is likely that many changes will occur in the course of the program. In addition, the flexibility of the design is necessary so that new directions or new approaches dictated by the findings of the evaluation study as they appear at any stage can be incorporated.

Principal features of the study design will include the following:

1. In-depth field interviews of the Board of Directors, members and staff of the Consortium, and key Laboratory personnel at three points in time;
2. Field interviews of key State Education Department personnal at three points in time;

3. Participant observation of all Consortium meetings;
4. Mailed goal checklists for Consortium directors, members, project personnel, Laboratory personnel, and SEA personnel at the beginning and end of the project;
5. Field interviews of principals and teachers of closely aligned Laboratory schools, where the selected product has already been adopted;
6. Questionnaires for a stratified random sample of target and non-target area LEAs to be sent to early childhood and special program teachers, principals and supervisors, local and district superintendents and assistant superintendents before and after diffusion has taken place.
7. Field interviews, toward the end of the project, with the professional staff of two or three target area LEAs in each State which are at different levels in the diffusion model.
8. Review and compilation of the proposed newsletter and of all written documents and correspondence relating to Consortium activities;
9. Review and compilation of all relevant information and data concerning utilizing existing diffusion mechanisms;

10. Review and compilation of all relevant information and data concerning:
    a) structure and organization of the educational system in the seven States;
    b) size and characteristics of LEAs;
    c) past history of the SEAs and LEAs concerning introduction of change;
    d) major problems previously identified by SEAs and LEAs;
    e) per pupil expenditures and teacher and administrator salary scales; and
    f) social, demographic and economic characteristics of the States, regions and locales.
11. Bibliographic search regarding rate of change in educational institutions; and
12. Thorough analysis of the data to determine relations among the numerous input, process, and outcome variables giving special attention to possible cause-effect relations.

B. EVALUATION OBJECTIVES

Specific objectives of the process and formative evaluation of the Consortium are deemed to be as follows:

1. To gather information and data concerning the educational size, demographic and socio-cultural factors of the seven States and the regions and locales within each.

2. To gather information and data concerning the educational systems on the State and local level, relating to:

    a. The formal organizational structure of the educational system;

    b. The formal and informal power structure;

    c. Characteristics of professional staff, e.g., size, tenure and experience, and salary scales for professional personnel;

    d. Nature and amount of State aid to education;

    e. Number and type of changes in educational practices introduced into system in the last five years and how such changes and practices were disseminated.

    f. Methods and instruments used for dissemination and feedback.

3. To gather information and data from the Directors, members, and staff of the Consortium during the course of the project, relating to:

    a. Specification of ultimate and intermediate goals;

    b. Goal priorities;

    c. Perceived difficulty of goal implementation;

    d. Attention paid to and importance assigned to dissemination to and feedback from, SEAs and LEAs.

    e. Design and implementation of the diffusion plan;

    f. Identification and selection of target school bodies and school personnel;

    g. Identification and selection of communication channels to be used;

    h. Selection of the product and contents of the message to be diffused;

- i. Participation in and attendance at Consortium meetings;
- j. Expressed disagreements and conflicts;
- k. Feelings about and perceived need for Consortium independence;
- l. Attitudes toward and perceived independence from AEL.

4. To gather information and data from the major staff of the seven State Departments of Education, during the course of the project, relating to:
   - a. Knowledge of and attitudes toward the Consortium, its goals, priorities and dissemination activities;
   - b. Knowledge of and attitudes toward the selected product to be diffused including their feelings concerning its anticipated benefits, problems and limitations.
   - c. Willingness or unwillingness to participate in Consortium and dissemination activities;
   - d. Degree of participation in Consortium and dissemination activities;
   - e. Knowledge of and attitudes toward AEL;
   - f. Attitudes toward and perceived need for educational change in general;
   - g. Assessment of the major educational problems within each State; and
   - h. Opinions regarding the perceived influence and power of the State Department of Education.

5. To gather information and data from selected local and district superintendents and assistant superintendents, supervisors, elementary school principals, and selected teachers in target and non-target areas relating to:
   - a. Knowledge of and attitudes toward the Consortium, its goals, priorities and dissemination activities;

b. Knowledge of, interest in, and attitudes toward the selected product for diffusion, including their feelings concerning its anticipated benefits, problems and limitations, and their willingness to use and adopt the product;

c. Contact and communication with the Consortium;

d. Peer group exchanges relating to information received from the Consortium;

e. Knowledge of, attitudes toward and contacts with AEL including attitudes toward AEL dissemination activities;

f. Attitudes toward and opinions regarding the perceived influence and power of the State Department of Education;

g. Attitudes toward and perceived need for educational change in general;

h. Assessment of the major educational problems within their district and within the State in general;

i. Identification of formal, informal and opinion leaders within their district.

6. To gather information and data from key members of AEL, during the course of the project, relating to:

   a. R & D agenda;

   b. Attitudes toward the Consortium, its goals, priorities and dissemination activities;

   c. Degree of participation in Consortium activities;

   d. Feelings about and perceived need for Consortium independence;

   e. Past activities in and successes and failures in attempting to disseminate their R & D products, with special attention to the product to be diffused by the Consortium;

   f. Attitudes toward the education systems in and within the seven States; and

g. The nature and extent of communication received from the Consortium, SEAs and LEAs.

7. To collate, categorize, analyze, and interpret the data reliably on a continuous basis throughout the evaluation period.

8. To determine the overall validity and effectiveness of the Consortium as a diffusion and feedback mechanism for R & D products and services and the reasons for success or failure through analysis of the above information and data;

9. To determine the relative effectiveness of the Consortium in the seven participating States and the reasons for variations in terms of outcomes by analysis of the above information and data;

10. To determine the impact of AEL on Consortium goals, procedures and outcomes by analysis of the above information and data; and

11. To appraise the usefulness of this type of diffusion model in other States and regions.

C. DATA COLLECTION METHODS AND SOURCES

A multi-operational approach toward the assessment of goals, procedures and outcomes will be adopted. The following techniques of data collection will be employed: in-depth focused interviews, field observations, participant observation techniques, surveys, structured instruments, and analysis of written documents and correspondence. A wide variety of approaches is necessary given the complexity of the program and the variations in structures, educational problems, resources and local need among the seven States.

1. Consortium

Since the Consortium is the focal point of the program and evaluation, special attention will be directed toward describing and documenting Consortium activities. The following methods will be utilized:

1. In-depth focused interviews with the directors, members and staff of the Consortium at the beginning, middle and end of project. An interview guide will be prepared for these interviews.
2. Goal checklists will be administered to the directors, members and staff of the Consortium at the beginning and end of the study. Attempts will be made to quantify perceived priorities and difficulties in implementation of the goals.
3. Participant observation of all meetings of the Consortium. Socio-anthropological techniques will be employed during these observations. In addition, attempts will be made to classify the interactions in terms of Bales Interaction Categories, and sociometry.
4. All documents, letters, memoranda and official statements concerning Consortium activities will be analyzed and coded for content.
5. All staff of the Consortium will be requested to keep weekly logs. A one or two page checklist of job activities will be drawn up by the evaluation staff and forwarded to the Consortium staff for this purpose.

2. State Education Departments

1. In-depth field interviews will be carried out with the Chief State Education Officer and other key staff members of the seven SEAs, at the beginning, middle and end of the project. An interview guide will be prepared for these interviews. Questions will be both structured and open ended.
2. Goal checklists will be administered to these

individuals at the beginning and end of the study. Attempts will be made to quantify perceived priorities and difficulties in implementation.

3. Weekly activity logs will be administered to all SEA staff who have been assigned to work on Consortium activities.

4. All documents, letters, memoranda, and official statements concerning Consortium activities will be analyzed and coded for content.

3. Appalachian Educational Laboratory

1. In-depth field interviews will be carried out with the director and key laboratory personnel, at the beginning, middle and end of the project. An interview guide will be prepared for these interviews. Questions will be both structured and open ended.

2. Goal checklists will be administered to these individuals at the beginning and end of the study. Attempts will be made to quantify perceived priorities and difficulties in implementation.

3. A careful analysis will be made of the Laboratory's R & D agenda at the beginning, middle, and end of the project. Examination will be made of written documents as well as verbal statements concerning this area.

4. Laboratory Schools

1. From interviews with key Laboratory personnel, schools with close ties to the Laboratory will be identified. Visits will then be made to a small sample of those schools that have already adopted the product which will be diffused under Consortium auspices to observe the actual use of the product.

2. Interviews will be conducted with the principals and teachers in these sample schools. Questions will be both structured and open ended.

5. Local Educational Associations

Actual sample selection of LEAs must await the final designation of target areas by the Consortium. It is not known at this time whether a wide range of LEAs will be selected within each State for target areas, or whether the selection of target areas will be narrow in scope and quantity. Therefore, although the sample of LEAs selected for data collection might have to be modified after the final adoption of a diffusion plan by the Consortium, the following variables, among others, will be utilized in sample selection of target areas for data collection purposes:

1. The rural or urban nature of the district;
2. The SES characteristics of the population of the district;
3. The traditional or progressive nature of the district in terms of educational practices; and
4. The per pupil expenditures for education in the district.

Non-target areas will also be classified according to these variables and a matched group of non-target area LEAs will be included in the sample.

Data collection within target and non-target areas will be directed to all levels of the LEAs: 1) local and district superintendents; 2) local and district assistant superintendents; 3) local and district supervisors; 4) principals of elementary schools; 5) teachers of early childhood and special programs. Only these school teachers and principals have been included because of the stated goal of the Consortium to focus on early childhood and special programs. If this focus is changed or modified, sample selection will also be modified.

Within this sample frame, the following methods will be utilized:

1. Mailed questionnaires will be sent to all designated educational personnel in selected target and non-target areas, after the diffusion plan has been implemented.
2. Follow-up letters and questionnaires will be sent to persons not responding to original questionnaires.
3. Brief telephone interviews will be conducted with those individuals who have not responded to either the questionnaire or the follow-up.

From the results of these questionnaires, LEAs and the schools within them will be classified according to their knowledge and awareness of the diffusion plan and the product, their interest in and conviction towards adoption, their actual adoption, and their intent for further use. Next, a sub-sample of two or three schools in each of these diffusion stages, in each State, will be selected for more intensive study. Field interviews will then be conducted with the teachers and principals of these sub-sample schools to identify in more detail the reasons for their awareness, interest, adoption or rejection of the project.

Since the goals and procedures of the Consortium are still in process, it is possible that modifications in methods and approaches will be made. For example, if the Consortium decides to use field or change agents in their diffusion plan, then methods would have to be designed to measure the activities and outcomes of this personal channel of communication. Final decisions concerning methods and procedure will be made after the Consortium's diffusion plan has been drafted.

D. DATA MANAGEMENT, PROCESSING AND ANALYSIS

Specific data analysis designs and procedures will be developed and applied throughout the course of the study. It is anticipated that the following methods of analyses will be among those to be employed:

1. Item analyses and factor analyses of questionnaire and interview responses;
2. Content analyses of correspondence, memoranda, notes and messages, and meetings of the Consortium and its activities;
3. Development of Sociograms for Consortium members and staff;
4. Bales interaction analysis;
5. Chi square; and
6. Correctional analysis.

Abacus Associates, Inc., a New York City business organization specializing in computer programming and data processing, with whom Elsbery Systems Analysis, Ltd. has a continuing working relationship, will be used for the data processing required in this study.

Four individuals will be designated as field interviewers and observers at the beginning of the evaluation study. Each will be assigned to either two States or one State and the Laboratory and will be expected to become totally familiar with and handle all field interviews and observations in their assigned area. Two observers will have a continuing assignment to attend all Consortium meetings throughout the project. The other two observers will attend at least one meeting of the Consortium so that they can gain familiarity with the actual working of the Consortium. Additional personnel will be assigned as necessitated by the tasks.

III. STATEMENT OF WORK

Implementation of the procedures described above is expected to involve the following phases and tasks:

A. MILESTONE A

Phase I: Planning and Initial Data Collection (May 1, 1974 - October, 1974)

Task 1 -- Initial contact with Consortium, Participating SEAs, AEL and the environment

1. Gather information and data concerning the educational, demographic and socio-cultural factors of the seven States and the regions and locales within each.
2. Gather information and data concerning the educational systems on the State and local levels.
3. Initial in-depth interviews with the directors, members and staff of the Consortium, with key staff of the State Departments of Education, and the AEL.
4. Participant observation of all meetings of the Consortium.
5. Review and compilation of all written documents and correspondence relating to Consortium activities.
6. Review of R & D agenda of AEL.
7. Administration of Goal Checklist.
8. Visits to schools closely tied to AEL.
9. Report submitted to NIE six weeks after the start of the project concerning the Consortium and environmental characteristics.

Task 2 -- Development of Specific Evaluation Plan

1. The contractor will develop a specific evaluation

plan which will include these components: evaluation design, evaluation methodology and techniques, and scheduling and timing of formal evaluation reports to Consortium staff and to NIE, including a suggested due date for a report providing the results of data-gathering.

2. The contractor will identify how he plans to collect data, from what source, and priorities among sources. He will tentatively identify significant dependent variables, a rationale for each and means of measuring each variable.

3. The contractor will submit this evaluation plan, justifying any changes from the preliminary design, six weeks after the start of the project.

Task 3 -- Development of Data Collection Instruments

1. All data collection instruments to be used in this study, and described in the "Data Collection Methods and Sources" section above, will be designed.

2. The contractor will prepare and submit a Forms Clearance Package to OMB within 16 weeks of the start of the project.

3. The contractor will establish cooperative arrangements with each State for administering data collection instruments.

Milestone A -- Completion of Phase I (October 1, 1974)

1. An interim report detailing the results of the activities of Phase I will be presented to the Consortium and sent to NIE.

B. MILESTONE B

Phase II: Data Collection, Processing and Analysis (October 1, 1974 - March 1, 1975)

Task 1 -- Interim Contact with Consortium, Participating SEAs and AEL

1. Second in-depth interview with the directors, members and staff of the Consortium and with

key staff of the State Departments of Education and the AEL.

2. Continuing participant observation of all meetings of the Consortium.

3. Continuing review of all written documents and correspondence relating to the Consortium and review of Newsletter.

4. Administration of weekly activity logs to members and staff of the Consortium and key staff of the SEAs.

Task 2 -- Administration of Questionnaires to Target and Non-Target LEAs

1. The contractor will administer questionnaires to: a) local and district superintendents, b) local and district assistant superintendents, c) local and district supervisors, d) principals of elementary schools, e) early childhood and special program teachers in the target and non-target LEAs. It is anticipated that data can begin to be collected in November 1974.

Task 3 -- Analysis

1. Analysis of the results of the questionniares will be accomplished.

2. Analysis of data relating to Consortium, participating SEAs and AEL will be continued.

Task 4 -- Selection of Sub-Sample of Schools

1. A sub-sample of two or three schools in each State will be drawn from the results of the questionnaires. The schools selected will be at different stages in the diffusion model.

Task 5 - Feedback

1. Results to be fed back to the Consortium staff are determined, together with a recommended

set of procedures on how this should be done. These procedures will provide for identification of basic policy questions and likely implications of the results.

Milestone B -- Completion of Phase II (March 1, 1975)

1. An interim report specifying the results of the data collection efforts in this phase will be sent to NIE and shared with the Consortium.

C. MILESTONE C

Phase III: Data Collection, Processing and Analysis (March 1, 1975 - June 1, 1975)

Task 1 -- Final Contact with Consortium, Participating SEAs and AEL

1. Third in-depth interviews with the directors, members, and staff of the Consortium, and with key staff of the State Departments of Education and the AEL.
2. Continuing participant observation of all meetings of the Consortium.
3. Continuing review of all written documents and correspondence relating to the Consortium.
4. Administration of second Goal Checklist.
5. Review of R & D agenda of AEL.
6. Administration of weekly activity logs to members and staff of the Consortium and key staff of the SEAs.

Task 2 -- Interviews with Staff of Two or Three Schools in Each State.

1. Field interviews with elementary school principals and teachers in two or three schools in each State will be carried out.

Task 3 -- Analysis

1. Final data analysis will be done and results concerning the factors relating to the effectiveness of the Consortium as a mechanism for disseminating R & D products and the reasons for success or failure will be identified.

Milestone C -- End of Phase III (June 1, 1975)

1. An interim report concerning the preliminary results of project will be presented to the Consortium.

D. MILESTONE D

Phase IV: Synthesis and Reporting (June 1975)

Task 1 -- Progress Reports

Progress reports briefly indicating how the evaluation study is proceeding will be submitted to NIE monthly.

Task 2 -- Final Report

A final report summarizing the process and results of the evaluation study will be submitted at least three weeks before the end of the evaluation project.

Task 3 -- Condensed Version of Final Report

A condensed version, in publishable form, of the Final Report will be submitted to SEA representatives connected with the Consortium, as well as those outside the Consortium by June 30, 1975.

Milestone D -- Terminal Point - End of Project (June 30, 1975)

APPENDIX A-2

EVALUATION DESIGN
FOR
"CONSORTIUM OF STATE DEPARTMENTS OF EDUCATION AS A DIFFUSION STRATEGY"

EVALUATION DESIGN

FOR

"CONSORTIUM OF STATE DEPARTMENTS OF EDUCATION AS A DIFFUSION STRATEGY"

May, 1975

ESA has been monitoring the functioning of the Appalachian consortium of State Departments of Education since contracting with NIE in May 1974 to evaluate the consortium as a diffusion mechanism. The consortium was incorporated in April 1973. Now, in November, eight months later, and more than halfway through the contract period of March 1, 1974 to June 30, 1975, it is apparent that the project is not progressing as anticipated by the consortium sponsors.

The ESA evaluation plan was designed in a manner that would permit a good deal of flexibility. New projects often change directions and run into unanticipated problems. If an evaluation is to accurately reflect what is in fact happening in a project, and the kinds of impact it is having, evaluators must be able to alter their designs in a manner that keeps them attuned to project reality during implementation rather than only to project plans prior to implementation. Given the limited progress made by the consortium to date in organizing and managing its program, a change in the focus of our evaluative strategy is warranted. The original ESA design is sufficiently flexible to accommodate this change without requiring any loss of utility of work already accomplished. The change involves an expansion of one area of investigation given only limited attention in the original plan and a decreased allocation of effort on the set of questions originally considered our central concern. Some elaboration should clarify this shift in emphasis.

Implicit in the original ESA evaluation design for this project was a long-term approach to assessment of the functioning and impact of the consortium as an R & D diffusion mechanism. Over the long run, the consortium and ESA evaluation were designed to achieve and assess goals that could be categorized on three levels:

1) institution-building
2) impact on R & D and user systems
3) impact on students as ultimate consumers of R & D products and services.

This plan recognizes that the short time period involved in the current contract makes it unlikely that project goals can be achieved beyond the levels of institution-building and the earliest phases of diffusion impact on the consumer-parents and educational systems (e.g., developing awareness and interest in EWS* and receiving the support of school systems in the pre-adoption planning stages; developing linkages between school personnel and R & D personnel in order to solicit input and feedback for the EWS system). Total system installation and institutionalization of EWS may be possible but is not probable during this initial period. Measurable impact on parents and students is clearly a goal beyond the scope of the current contract period. However, with a view toward creating an overall design capable of use for a long-range evaluation of program success in achieving all three levels of goals, whether or not completely carried out by this evaluator, the ESA design integrally relates provision for assessing even this long-term goal.

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*EWS = Early Warning System.

Institution-building is given significant attention. The process will be documented and analyzed, the allocation of resources to this aspect of the overall evaluation will be substantial. Another major thrust of the evaluative effort will be concerned with questions of the diffusion strateg(ies) and the product as it applies to institution-building, diffusion and impact.

Since the difficulties currently characterizing the consortium's attempts at institution-building are likely to weaken the consortium's probably impact, our current plans entail a substantial allocation of resources toward analysis of the consortium's difficulties in institution-building. So much of the effort of federal R & D policy in the last ten years has involved institution-building, and so much of that effort has run up against unanticipated problems, we feel certain that this will be a particularly fruitful line of inquiry.

Analysis of the R & D system and the innovation process in education underscores the lack of linkage mechanisms and the need to create new institutions like the consortium to fulfill the linkage function. However, the history of other institutions developed to meet specific R & D needs (e.g., R & D centers and regional laboratories) indicates that institution building is a difficult process. The more cognizant we became of the problems encountered by the consortium, the more intensively we examined the R & D and diffusion literature. The literature strongly suggests that the planning period and initial years of functioning can have a critical impact on the future development of these institutions. Therefore, probably the most significant data to be gathered in the early phases of a project of this kind must be focused on the goal of institution-building. The process must be documented carefully and analyzed and feedback must be provided to key operating personnel and a conceptual scheme must be developed for analysis of the institution-building process, for reporting the process to others and for designing the evaluation framework to be used in later phases of the evaluation focused on assessing program impact on the user and R & D systems and alternately students as end users. The ESA evaluation plan is designed to meet all these needs.

The research questions we will consider are subsumed under the topics outlined below:

I. Institution-Building -- the process and influences of it.

1. Origins
2. Power context (how SEAs differ in power and prestige, influence in relationship to each other, perceive finance, educational innovation, educational myths and reality)
3. Resources (includes personnel expertise and attitudes)
4. Governance, internal relations, and consortium functioning (includes questions relating to autonomy, goal congruence, activism of involvement, decision making processes and outcomes, and implementation difficulties)
5. External relations with user and R & D systems.

Items I.1-I.5 are researched and evaluated in relationship to the following two questions: How well is the consortium establishing itself as an independent and self-sustaining body? How well does the consortium establish a two-way process of communication and impact on LEAs and the R & D system?

II. Product and Diffusion Strategy

1. Origins
2. Power context (who determined and why)
3. Resources (those within and without consortium and states)

4. Governance

5. External relations with user and R & D system.

Items II.1-II.5 to be viewed and evaluated through the following five broad issues and questions, including the nine sub-questions:

a) What effect do the "product deliverables" (The Consortium of State Departments of Education in the Appalachian Region, "Revised Budget and Scope of Work for the Continued Operation of the Consortium of State Departments of Education in the Appalachian Region as a Diffusion Mechanism," February 24, 1975, pp. 4-9) have upon the EWS product?

b) What effect do the "product deliverables" have upon the consortium diffusion strategy?

c) What effect do the "product deliverables" have upon the "state" diffusion strategies?

d) What effect do the "product deliverables" have upon institution-building?

e) What effect do the "product deliverables" have upon product impact?

These five questions can be opened to include but not limited to the following nine issues or questions:

1) Product development as a part of a consortium diffusion strategy

2) Product development as a part of state diffusion strategies
3) Relationship of institution-building as seen in EWS meetings to product development decisions
4) Relationship of institution-building as seen in EWS meetings to developed consortium diffusion strategy
5) Relationship of state diffusion strategy to institution-building
6) Relationship of state diffusion strategy to product impact (as perceived by Consortium)
7) Relationship of state diffusion strategy to product impact as perceived by states
8) Key characteristics of the product; relationship of product to consumer
9) Key characteristics of the diffusion strategy; relationship of strategy to consumer.

III. Intermediate Impact

1. Impact on the user and R & D system
2. To what extent is it attributable to difficulties encountered in the process of institution-building? or to the product? or to the selected diffusion strategy?

Institution-Building

The process of institution-building is a *main concern* in this analysis of the early period of the consortium's history. Our conceptual framework for the evaluation as a whole places institution-building in a central position as both a dependent variable for one phase of the evaluation and an independent variable for a later phase. As a *dependent variable*, we are concerned with such influences on the process of institution-building as: the origins of the consortium, the power context, resources, governance, operational effectiveness, and external relations. As an *independent variable, we are interested in how the success of the institution-building (along with the selected product and diffusion strategy) affects the impact of the consortium's activities*.

A. origins of the consortium B. power context C. resources D. governance E. operational effectiveness F. external relations	Institution-building Product Diffusion Strategy	Impact on 1. User system 2. R & D System 3. Students

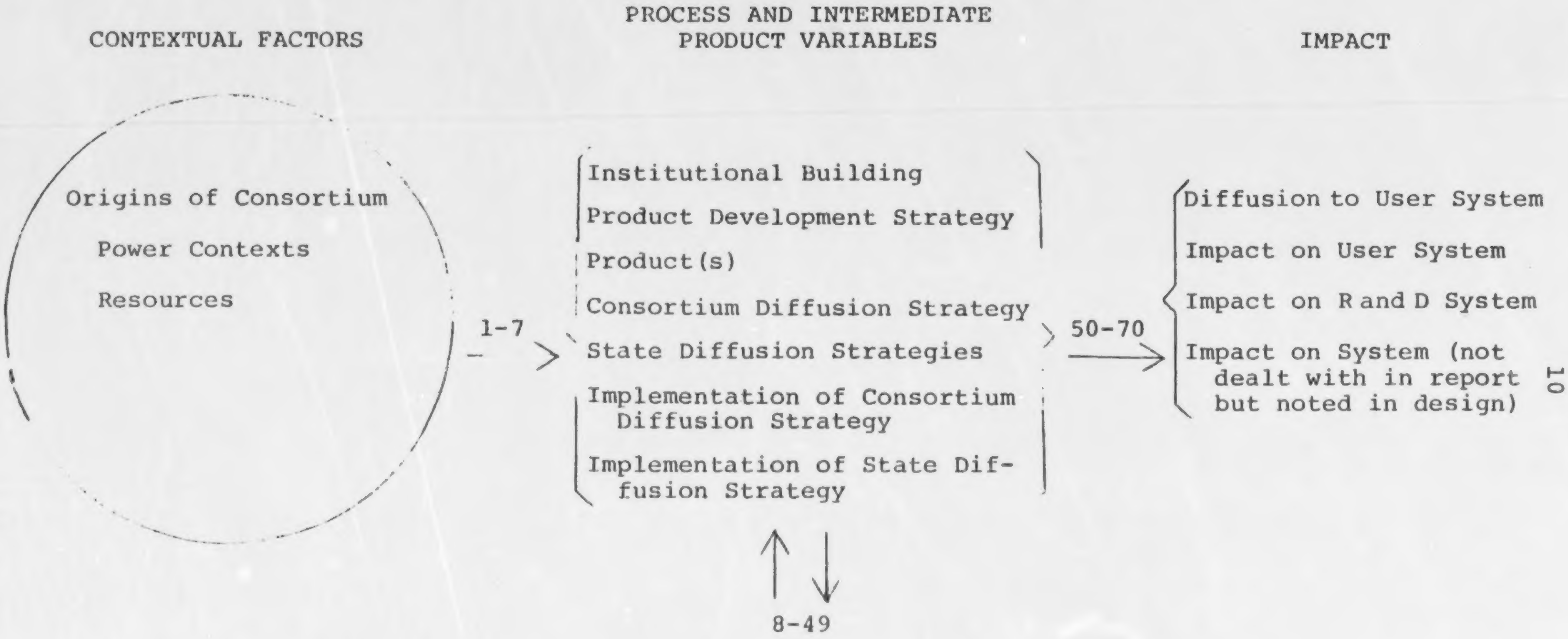
The questions raised under A-F may differ in I and II, but their contextual existance remains firm.

Each element in the above scheme is considered in depth in our research. The next section of this document diagramatically elaborates the aforementioned and the following information for each of these elements:

1. the focal research question
2. the variables to be investigated
3. the data-gathering approaches and data sources to be used
4. operationalization of the variables
5. how the data are to be used in the analysis and reporting
6. analytic approaches to be used.

FIGURE 1

Context, Process and Impact


CONTEXTUAL FACTORS
PROCESS AND INTERMEDIATE PRODUCT VARIABLES
IMPACT
Origins of Consortium
Power Contexts
Resources
1-7
Institutional Building
Product Development Strategy
Product(s)
Consortium Diffusion Strategy
State Diffusion Strategies
Implementation of Consortium Diffusion Strategy
Implementation of State Diffusion Strategy
8-49
50-70
Diffusion to User System
Impact on User System
Impact on R and D System
Impact on System (not dealt with in report but noted in design)

Congruent Relationship Between Product Characteristics and User Characteristics 71

Congruent Relationship Between Diffusion Strategy Characteristics and User Characteristics 72

ATTACHMENT TO FIGURE 1

CATEGORY OF RELATIONSHIP	INDEPENDENT VARIABLE	DEPENDENT VARIABLE
1-7 Effect of contextual factors on each of the process & intermediate variables	1. Contextual Factors	1. Institutional Bldg.
	2. "	2. Product Development Strategy
	3. "	3. Product(s)
	4. "	4. Consortium Diffusion Strategy
	5. "	→ 5. State Diffusion Strategy
	6. "	6. Implementation of Consortium Diffusion Strategy
	7. "	7. Implementation of State Diffusion Strategy
8-49 Interrelationship among process and intermediate product variable	8. Institutional Bldg.	8. Product Development Strategy
	9. "	9. Product(s)
	10. "	10. Consortium Diffusion Strategy
	11. "	→ 11. State Diffusion Strategy
	12. "	12. Implementation of Consortium Diffusion Strategy
	13. "	13. Implementation of State Diffusion Strategy
	14. Product Development Strategy	14. Institutional Building
	15. "	15. Product(s)
	16. "	16. Consortium Diffusion Strategy
	17. "	→ 17. State Diffusion Strategy
	18. "	18. Implementation of Consortium Diffusion Strategy
	19. "	19. Implementation of State Diffusion Strategy

CATEGORY OF RELATIONSHIP	INDEPENDENT VARIABLE	DEPENDENT VARIABLE
	20. Product(s)	20. Institutional Bldg.
	21. "	21. Product Development Strategy
	22. "	22. Consortium Diffusion Strategy
	23. "	→ 23. State Diffusion Strategy
	24. "	24. Implementation of Consortium Diffusion Strategy
	25. "	25. Implementation of State Diffusion Strategy
	26. Consortium Diffusion Strategy	26. Institutional Building
	27. "	27. Product Development Strategy
	28. "	28. Product(s)
	29. "	→ 29. State Diffusion Strategy
	30. "	30. Implementation of Consortium Diffusion Strategy
	31. "	31. Implementation of State Diffusion Strategy
	32. State Diffusion Strategy	32. Institutional Building
	33. "	33. Product Development Strategy
	34. "	34. Product(s)
	35. "	→ 35. Consortium Diffusion Strategy
	36. "	36. Implementation of Consortium Diffusion Strategy
	37. "	37. Implementation of State Diffusion Strategy

CATEGORY OF RELATIONSHIP	INDEPENDENT VARIABLE	DEPENDENT VARIABLE
	38. Implementation of Consortium Diffusion Strategy	38. Institutional Building
	39. "	39. Product Development Strategy
	40. "	40. Product(s)
	41. "	→ 41. Consortium Diffusion Strategy
	42. "	42. State Diffusion Strategy
	43. "	43. Implementation of State Diffusion Strategy
	44. Implementation of State Diffusion Strategy	44. Institutional Building
	45. "	45. Product Development Strategy
	46. "	46. Product(s)
	47. "	→ 47. Consortium Diffusion Strategy
	48. "	48. State Diffusion Strategy
	49. "	49. Implementation of Consortium Diffusion Strategy
50-70 Effect of process & intermediate product on product and diffusion strategy impact	50. Institutional Bldg.	50. Diffusion to User System
	51. Product Development Strategy	51. "
	52. Product(s)	52. "
	53. Consortium Diffusion Strategy	53. "
	54. State Diffusion Strategy →	54. "
	55. Implementation of Consortium Diffusion Strategy	55. "
	56. Implementation of State Diffusion Strategy	56. "

CATEGORY OF RELATIONSHIP	INDEPENDENT VARIABLE	DEPENDENT VARIABLE
	57. Institutional Building	57. Impact on User System
	58. Product Development Strategy	58. "
	59. Product(s)	59. "
	60. Consortium Diffusion Strategy	60. "
	61. State Diffusion Strategy	→ 61. "
	62. Implementation of Consortium Diffusion Strategy	62. "
	63. Implementation of State Diffusion Strategy	63. "
	64. Institutional Building	64. Impact on R and D System
	65. Product Development Strategy	65. "
	66. Product(s)	66. "
	67. Consortium Diffusion Strategy	67. "
	68. State Diffusion Strategy	→ 68. "
	69. Implementation of Consortium Diffusion Strategy	69. "
	70. Implementation of State Diffusion Strategy	70. "

Bibliographic Work

The final ESA evaluation report on the consortium and its impact will include a bibliographic appendix designed to achieve two objectives:

a) It will review the literature in a manner that categorizes various dissemination/diffusion strategies and locates the consortium and its approach in terms of that scheme; and

b) It will abstract generalizable hypotheses and/or conclusions from the evaluation findings, especially with regard to three issues:

   1. generalizability/replicability;
   2. appropriateness of the strategy for the product and target consumers; and
   3. effect of contextual factors on implementation and impact of the diffusion strategy.

Data Elements and Data Sources

Each of the key data blocs is described on the pages that follow, by enumerating the data elements that comprise it, and the sources from which this information is to be obtained.

Data Elements	Data Sources
I Contextual Factors	
1. Origins of the consortium	A. Analysis of program documents
a) sources of original concept	B. Interview with NIE program officer
b) initiators	
c) interests served by joining and working with consortium	C. Interview with Consortium Executive Director
d) incentives for joining and working with consortium	D. Interviews with Consortium Board of Directors (Chief State School Officers)
e) perceived motives and trust	E. Interviews with AEL staff involved in early planning and negotiating
f) anticipated liabilities	

Data Elements

I Contextual Factors (cont.)

2. Power context
    - a) varying state capabilities and readiness to adapt EWS
        - -SEA power/prestige vis-a-vis LEAs
        - -SEA financial resources
        - -SEA history in implementing innovations
        - -current SEA orientations toward change and innovations
        - -existing SEA channels for disseminating information on innovations
        - -SEA defined educational needs and priorities
    - b) involvement in prior cooperative ventures and/or other consortium activities, and resultant affect toward the consortium concept
    - c) SEA perceptions of NIE role and purposes
    - d) SEA perceptions of consortium's role in relation to SEAs

Data Sources

A. Analysis of documents

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

D. Interview with Consortium Board of Directors (Chief State School Officers)

E. Interview with AEL director

F. Interviews with state advocates

Data Elements	Data Sources
I Contextual Factors (cont.)	
3. Resources a) Level of consortium funding, and stability of funding level over contract period b) Degree of expansion of consortium resources through supplementary arrangements c) Perceived adequacy of consortium resources d) Personnel needs of consortium; areas of consortium staff experience and expertise; degree of conference between personnel needs and backgrounds of personnel employed by the consortium	A. Analysis of consortium documents, including contracts, budgets and expenditure reports, and staff resumés B. Interview with NIE program officer C. Interview with Consortium Executive Director D. Interviews with Consortium Board of Directors E. Interviews with state advocates

Data Elements

I Contextual Factors (cont.)

4. Governance

   a) goal formation: perceived goals of consortium; congruence between goals of participants and perceived goals of consortium

   b) decision making: patterns of power and influence (e.g., selection of MPEP; dropping MPEP; selection of EWS; development and selection of diffusion strategies)

   c) distribution of power/influence between Consortium Board of Directors and Executive Director

   d) participant interactions: communication patterns; affect patterns; conflict/consensus

   e) activism of participants

Data Sources

A. Analysis of documents, including minutes of Board of Directors and Task Force

B. Interview with NIE program officer

C. Interviews with Consortium Executive director

D. Interviews with Consortium Board of Directors

E. Interviews with state advocates

Data Elements

II Process and Intermediate Product Variables

1. Institution Building

   a) role (mission) definition and goal clarity

   b) clear identity/autonomy, as perceived by clients/market and other key institutions in the target sphere of activity

   c) legitimacy, as perceived by clients/market and other key institutions in the target sphere of activity

   d) clear governance structure and procedures

   e) efficiency of internal administrative procedures

   f) effectiveness of personnel

   g) effectiveness of communication networks

   h) effectiveness of marketing its services and receiving inquiries for services

Date Sources

A. Analysis of documents, especially communications with organizations and institutions in the seven state area served

B. Interview with NIE program officer

*C. Interviews with Consortium Executive Director

*D. Interviews with Consortium Board of Directors

*E. Interviews with state advocates

F. Questionnaires completed by members of Consortium Task Force

G. Interviews with consortium staff involved in monitoring diffusion implementation

*H. Questionnaires completed by personnel in sample of LEAs identified as targets for EWS diffusion

*I. Interview with AEL Director

* Most important

Data Elements

II Process and Intermediate Product Variables (cont.)

2. Product Development Strategy
    - a) criteria for product selection
    - b) nature of research/knowledge base
    - c) rationale for refinement of existing products rather than development of new producets
    - d) deployment of manpower: roles of Task Force consultants and staff in product development
    - e) extent of diffusion personnel/user system input and involvement in product selection and development
    - f) criteria for product design/packaging
    - g) rationale for short-circuiting R & D cycle of prototype development, field-testing, evaluation, and revision
    - h) criteria for judging soundness of developed product

Data Sources

*A. Analysis of program documents, especially work plans of product development staff, progress reports, communications relevant to product development process, and drafts of EWS product

B. Interview with NIE program officer

*C. Interview with Consortium Executive Director

*D. Questionnaire to be completed by members of Consortium Task Force (State Directors of Special Education)

*E. Questionnaire to be completed by key personnel involved in EWS product development

*Most important

Data Elements

II Process and Intermediate Product Variables (cont.)

3. EWS Product Characteristics

a) target group addressed: home vs. school

b) user's needs/needs addressed by product - evaluator's assessment; participants' assessments

c) relative advantage of this product over other products addressed to same need - evaluators' assessment; participants' assessments

d) complexity/comprehensibility - evaluators' assessment; participants' assessment

e) compatibility (degree of change from existing practices, compatibility with prevailing practices and attitudes) - evaluator's assessment; participants' assessment

f) hard/soft (product/change process) dimension - packageability, and package dimensions

Data Sources

*A. Analysis of EWS series in final form diffused to user systems

B. Interview with NIE Program Officer

C. Interview with Consortium Executive Director

*D. Questionnaires to be completed by Consortium Task Force

*E. Questionnaires to be completed by key personnel involved in EWS product development

*F. Interview with state advocates

*G. Interview with consortium staff involved in monitoring implementation

*H. Questionnaires completed by school personnel in target LEAs

*Most important

II Process and Intermediate Product Variables (cont.)

g) optimal degree of implementation support required/ degree of implementation support included in "package" - evaluators' assessment; participants' assessment

h) divisibility

i) production quality

j) costs

Data Elements

II Process and Intermediate Product Variables (cont.)

4. Consortium Diffusion Strategy Characteristics

   a) approach to diffusion target identification: intensive vs extensive; total population vs. sub-group targetting

   b) degree of adaptation of diffusion strategy to subgroup/locality variability (adaptation to market segmentation)

   c) single plan vs. multi-stage diffusion strategy (market orchestration) - approaches to phases of awareness, interest, evaluation, trial, and adoption

   d) degree of use of existing diffusion channels vs. creation of new channels

   e) degree of use of insider vs. outsider channels

   f) degree of use of print vs. nonprint approaches (e.g. dissemination vs. demonstration strategies)

Data Sources

*A. Analysis of program documents

B. Interview with NIE program officer

*C. Interview with Consortium Executive Director

*D. Interviews with Consortium Board of Directors

E. Interviews with state advocates

*F. Interviews with consortium staff involved in monitoring of diffusion implementation

*Most important

Data Elements

II Process and Intermediate Product Variables (cont.)

5. Characteristics of State Diffusion Strategies

   a) approach to diffusion target identification: intensive vs. extensive; total population vs. subgroup targetting

   b) degree of adaptation of diffusion strategy to subgroup/locality variability (adaptation to market segmentation)

   c) single plan vs. multi-stage diffusion strategy (market orchestration) - approaches to phases or awareness, interest, evaluation, trial, and adoption

   d) degree of use of existing diffusion channels vs. creation of new channels

   e) degree of use of insider vs. outsider channels

   f) degree of use of print vs. non-print approaches (e.g. dissemination vs. demonstration strategies)

Data Sources

*A. Analysis of program documents, especially finalized state diffusion plans

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

*D. Interviews with Consortium Board of Directors

*E. Interviews with state advocates

*F. Interviews with consortium staff involved in monitoring of diffusion implementation

*Most important

Data Elements

II Process and Intermediate Product Variables (cont.)

6. Implementation of Consortium Diffusion Strategy

a) effectiveness of communication of consortium diffusion strategy to developers and implementers of state diffusion strategies (congruence of perceptions of goals, preferred means, and performance expectations)

b) adequacy of translation of consortium diffusion strategy with state diffusion plans

c) degree of use of consortium resources (SEAs and SEA joint through consortium) in implementing diffusion strategy

d) adequacy of deployment of consortium resources (finds, manpower, influence) to provide assistance in implementation and to monitor implementation

Data Sources

*A. Analysis of program documents, especially memos and reports from consortium staff monitoring implementation

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

D. Interviews with Consortium Board of Directors

*E. Interviews with state advocates

*F. Interviews with consortium staff involved in monitoring of diffusion implementation

*Most important

Data Elements

II Process and Intermediate Product Variables (cont.)

7. Implementation of State Diffusion Strategies

   a) adequacy of deployment of SEA and consortium resources (finds, manpower, influence) to provide assistance in implementation and to monitor implementation

   b) scope of market coverage attempted

   c) degree of market segmentation attempted

   d) effectiveness of market orchestration

   e) effectiveness of use of insider vs. outsider channels/difficulties encountered

   f) adaptation vs. start-up problems in using existing diffusion channels vs. creating new channels

   g) effectiveness of use of print vs. non-print channels/difficulties encountered

   h) role of state advocates acceptance, legitimacy, effectiveness

Data Sources

A. Analysis of program documents, especially memos and reports from consortium staff monitoring implementation

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

D. Interview with Consortium Board of Directors

*E. Interviews with state advocates

*F. Interviews with consortium staff involved in monitoring of diffusion implementation

G. Questionnaires completed by personnel in sample of LEAs identified as targets for EWS diffusion

*Most important

Data Elements

III Impact Variables

1. Diffusion to User Systems

a) level of awareness of existence of EWS series-school personnel, parents

b) level of interest in EWS series school personnel, parents

c) extent of evaluation of EWS engaged in by school personnel, parents

d) amount of trial activity

e) extent of adaption of EWS series

Data Sources

A. Analysis of documents, especially correspondence from school systems and/or parents

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

D. Interviews with Consortium Board of Directors

E. Interviews with state advocates

*F. Interviews with consortium staff involved in monitoring diffusion implementation

*G. Questionnaires completed in LEA sample identified as targets of diffusion: school personnel; parents

*Most important

Data Elements

III Impact Variables (cont.)

2. Impact on User Systems

a) effects on parent interactions with their preschool children relative to identifying handicapping conditions

b) effect on parent/school interactions re: handicapping conditions of preschool children (quantity and quality of interaction)

c) effect on school system program planning for preschool/early childhood: SEA level; LEA level

d) effects on diagnostic testing and analysis procedures of school system: SEA level; LEA level

e) effect on number of preschool children diagnosed as showing signs of handicapping conditions

Data Sources

A. Analysis of relevant program documents, especially reports of consortium staff monitoring implementation

B. Interview with NIE program officer

C. Interview with Consortium Executive Director

D. Interview with Consortium Board of Directors

E. Interview with state advocates

*F. Interviews with consortium staff involved in monitoring implementation

*G. Questionnaires completed in LEA sample identified as targets of diffusion: school personnel; parents

*Most important

Data Elements	Data Sources
III Impact Variables (cont.) 3. Impact on R & D System a) extent of change in soliciting diffusion personnel input or product selection and design b) extent of change in soliciting consortium/SEA/LEA/parent input on product selection and design c) extent of change in skill mix in R & D teams to include more personnel with prior experiences in diffusion and/or user system practice	A. Interview with NIE program officer B. Interview with Consortium Executive Director C. Questionnaires completed by Consortium Task Force D. Interview with AEL director E. Questionnaires to be completed by key personnel involved in EWS product development F. Interviews with state advocates

Data Elements

IV Consumer/User System Characteristics

1. LEA/community demographic profiles by income, educational attainment, and race/ethnicity/national origins, and urbanism
2. LEA profiles by academic achievement levels
3. LEA profiles by absolute and relative size of special education student population
4. LEA profiles by availability of diagnostic services for identifying, and programs to meet needs of, preschool/early childhood students with handicapping conditions
5. LEA history of and orientation toward, educational innovation

Data Sources

*A. Analysis of documents, especially federal and state-level statistical reports on LEAs, if available

B. Interviews with state advocates

C. Interviews with consortium staff involved in monitoring implementation

D. Questionnaires completed by school personnel in sample of LEAs identified as targets of EWS diffusion

*Most important

Data Processing and Analysis Plan

Since little of the data we are collecting is quantitative in form, or readily amenable to valid quantification, our approach to the data analysis will be qualitative. Our procedures will strive for a high degree of reliability in data categorization and interpretation. Our data processing and analysis plan can be summarized as follows:

1. All indicators (interview and questionnaire items) will be cross-referenced by variables (data elements).
2. All precoded multiple-choice items will be checked by clerks and key-punched.
3. All open-ended interview and questionnaire items will be abstracted on 4x6 index cards and categorized by data element and component of data element. The abstracting will be done by three senior-level analysts, working independently. Descriptive and interpretive data will be abstracted separately.
4. The independently-produced abstracting and categorization of data will be compared for reliability. Inconsistencies will be resolved by conferences among the three analysts. The interpretation, insights, and hypotheses in the three sets of abstracts will be synthesized into a single index-card data file.

5. The descriptive information on each data element will be summarized.
    - 5.1 Contextual Factors
        - a) Origins of the Consortium
        - b) Power Context
        - c) Resources
        - d) Governance
    - 5.2 Process and Intermediate Product Variables
        - a) Institution-Building
        - b) Product Development Strategy
        - c) Product Characteristics
        - d) Consortium Diffusion Strategy
        - e) State Diffusion Strategies
        - f) Implementation of Consortium Diffusion Strategy
        - g) Implementation of State Diffusion Strategies
    - 5.3 Impact
        - a) Diffusion to User Systems
        - b) Impact on User Systems
        - c) Impact on R & D System
    - 5.4 Consumer/User Characteristics
6. Relationships among the data elements will be examined, as sketched in Figure 1 and the 72 relationships enumerated in the Attachment to Figure 1.

The three senior analysts will work independently to arrive at interpretations of relationships, in accord with the work plan specified in our anticipated performance schedule. Toward the close of each specified time period, the three analysts will confer to discuss their interpretations and resolve differences in interpretations. For each set of relationships explored, the analysts will also jointly generate hypotheses to explain why given relationships did or did not emerge from the data examined.

6.1 Given the political element inherent in any consortium approach, especially one involving both a number of state-level government agencies (seven SEAs) and a federal-level government agency (NIE) as sponsor, we will examine particularly closely the effect of the enumerated contextual factors on the seven processes and intermediate product variables indicated (i.e., the process and degree of success of institution-building, the characteristics of the selected product and the development strategy used to generate that product, the consortium and state diffusion strategies that were designed, and the process of implementing these strategies).

We will focus our examination on determining the extent to which the decisions made, and the ease or difficulty of carrying them out, was affected by these contextual factors. By implication, we will be searching for degrees of generalizability of our subsequent findings--i.e., to what extent may findings of relationships between these process and intermediate product variables, on the one hand, and impact variables, on the other, be affected by the particular field setting? If contextual factors do appear to be significant, which ones would seem to be most important? Why?

6.2 Given the complexity of the institution-building process and the development and diffusion of R & D products, and considering how little is known about how these process actually work and affect one another in practice, we are especially interested in using this process data to explore interrelationships among process variables. This is the kind of information that is most useful to decisionmakers -- e.g., how what they are doing in one set of activities creates problems for them in another set of activities, thereby contributing to the limited overall effect of the implemented innovation. This kind of information can be far more useful than: a) simply knowing the degree of impact of a given innovation attempt (usually minimal), or even b) knowing that part of the problem is traceable to something that happened, for instance, in the implementation of the diffusion strategy. Since the innovation process is often a seamless web of interrelationships, an effort to tease out some of the more significant of the tangled threads may lead to the kind of information most useful for strengthening the management of innovation.

Therefore, we will be examining the 42 interrelationships among our process and intermediate product variables, as indicated in Figure 1 and the Attachment to Figure 1.

a) How did these factors affect the insitution-building process and the degree of success the consortium had in establishing itself as an independent entity? How was this process (and degree of success) affected by the EWS product? the strategy used to develop EWS? the diffusion strategies adopted by the consortium and the participating states? and the implementation of these diffusion strategies?

b) How did these factors affect the product development strategy selected by the consortium? How was this choice of strategy affected by the demands of institution building? How was the choice of strategy affected by the EWS product that was chosen? How was the product development strategy to be used? How, if at all, was the product development strategy affected by the implementation of the diffusion strategy? (e.g., Did difficulties in marketing EWS suggest the need to recycle development to better adapt the product to the market characteristics identified in the course of implementing the diffusion strategies?)

c) How did these factors affect the EWS product that was chosen and the final form it took for diffusion? To what extent was the product choice affected by the consortium's institution-building needs? How was the product choice and design affected by the choice of product development strategy to be used? How was it affected by the diffusion strategies to be used? How, if at all, was the product design affected by the implementation of the diffusion strategy? (e.g., Did difficulties in marketing EWS suggest the need to recycle development to better adapt the product to the market characteristics identified in the course of implementing the diffusion strategy?)

d) How did these factors affect the consortium and state diffusion strategies as designed prior to implementation? To what extent were the strategies affected by the institution-building needs of the consortium? How were the diffusion strategies affected by the product development strategy used? How were the diffusion strategies affected by the choice of the EWS product? How, if at all, were the diffusion strategies affected by their implementation? (e.g., Were the diffusion strategies modified during the course of implementation because of difficulties encountered in the implementation process?)

   e) How did these factors affect the implementation of the diffusion strategies? How was implementation affected by the consortium's institution-building needs? How was implementation affected by the product and product development strategy used? How was it affected by the diffusion strategies being implemented?

6.3 Given the complexity of the innovation development and diffusion process, and the lack of a reasonable time lapse between implementation and evaluation of impact, we will be extremely cautious in interpreting impact data, especially data on the impact of the EWS product on the user systems to which it is diffused. We strongly urge that a follow-up study of impact be conducted after the lapse of at least a year following implementation. The questions we will analyze can also structure, in more elaborate form, the follow-up study.

   a) To what extent was impact on the R & D system affected by these other factors? To what extent was it affected by the institution-building process and its demands? the EWS product and the strategy used to develop it? the diffusion strategies designed by the consortium and participating states? the implementation of those strategies?

b) To what extent was the amount of diffusion to user systems affected by these other factors? To what extent was it affected by the institution building process and its demands? the EWS product and the strategy used to develop it? the diffusion strategies designed by the consortium and participating states? the implementation of those strategies?

c) To what extent was the degree of impact on practices within the user system traceable to these other factors? To what extent was the impact on user system practices attributable to the consortium's institution-building process and the difficulties encountered in that process? To what extent was the impact traceable to the product characteristics and/or the strategy used to develop the product? To what extent was it attributable to the diffusion strategies, as designed and/or as implemented?

6.4 Finally, the literature on innovation adoption suggests strongly the importance of consumer/user characteristics in explaining decisions to adopt or not adopt a given innovation.

Therefore, we will consider the following two questions in our analysis:

a) To what extent are the EWS product characteristics addressed to consumer/user characteristics (especially needs)?

b) To what extent are the diffusion strategy characteristics related to consumer/user characteristics (e.g., adapting diffusion strategies to market segmentation)?

Performance Schedule

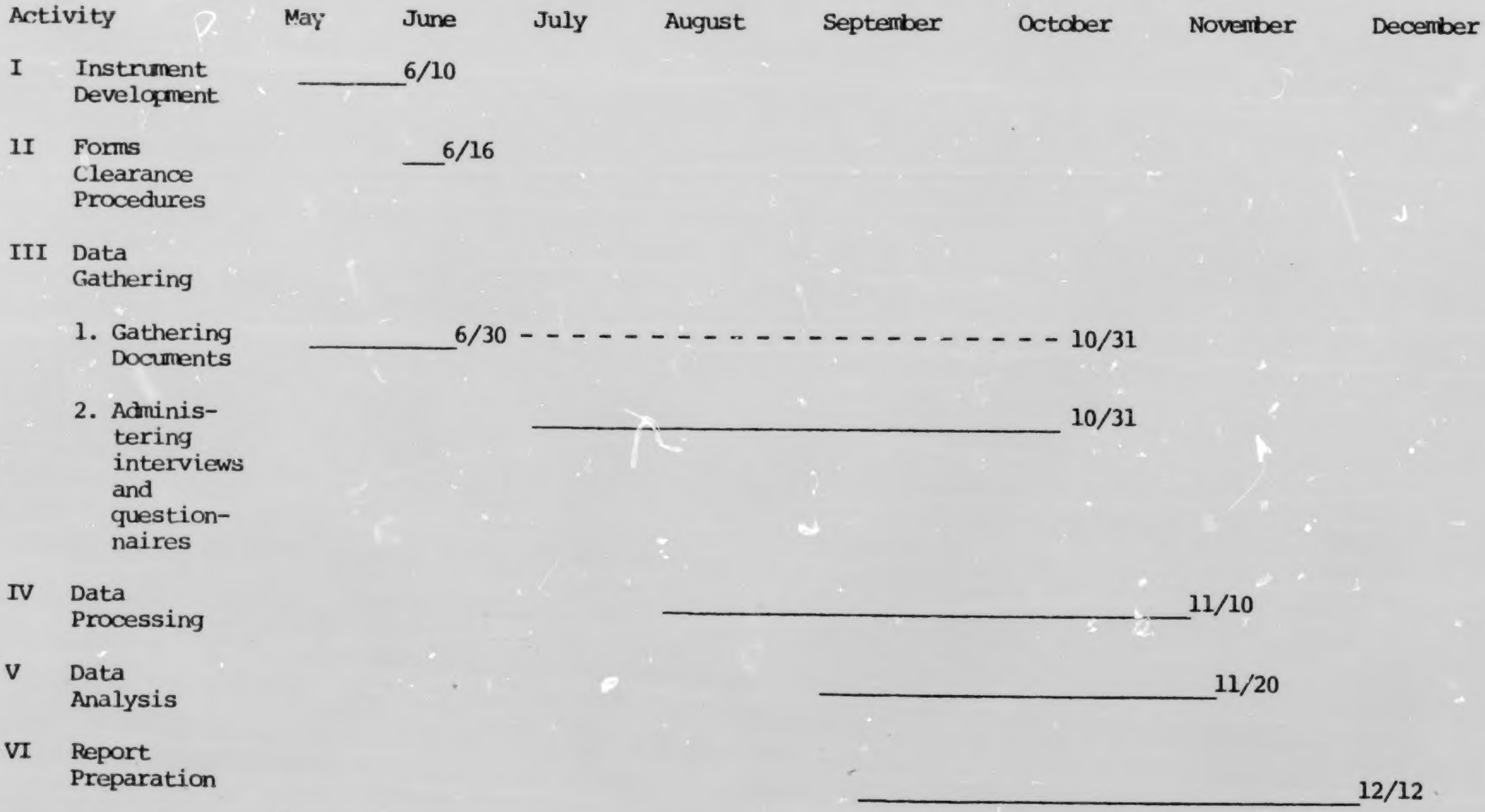
All tasks to be completed between now and December are specified on the pages that follow, along with anticipated dates for completion of each task. All dates should be regarded as tentative and negotiable.

If forms completion procedures can be completed by June 30th, the schedule will remain in effect as specified. If forms clearance procedures are completed at a later date, then the July-August interview schedule will be compressed accordingly.

Given the October 30th date for completion of implementation of the diffusion strategies, and the need to report on impact data which cannot be gathered earlier than October 30th, we anticipate completion of our report by December 12th, and delivery of the report to NIE and the Consortium staff and members the following week, December 15-19.

Figure 2

Performance Schedule Summary
May-November 1975



PERFORMANCE SCHEDULE

		Tasks	Anticipated Completion Dates
I		Instrument Development	
	1.	Interview with NIE Program Office	May 30
	2.	Interview with Consortium Executive Director	May 30
	3.	Interview with Consortium Board of Directors	May 30
	4.	Interview with AEL staff involved in early planning and negotiating	May 30
	5.	Interview with state advocates	June 10
	6.	Questionnaire to be completed by members of Consortium Task Force (State Directors of Special Education) and Task Force's consultants	June 10
	7.	Questionnaire to be completed by key personnel involved in EWS product development	June 10
	8.	Interview with Consortium staff involved in product production, distribution, monitoring of diffusion, implementation, and compiling information for program report on successful and unsuccessful diffusion tactics	June 10
	9.	Questionnaire to be completed by personnel in sample of LEAs identified as targets for EWS diffusion	June 10
	10.	Questionnaire to be completed by sample of parents in LEA sample	June 10

	Tasks	Anticipated Completion Dates
II	Preparation of documents for forms clearance procedures	June 16

Tasks	Anticipated Completion Dates
III Date Gathering	
1. Collection of program documents for analysis	June 30, with monthly updating
1.1 early memos, position papers, etc. setting forth need for a consortium for diffusion	
- NIE documents	
- AEL documents	
- SEA documents	
- others	
1.2 proposal for funding of Consortium, correspondence with NIE re: proposal, contract with NIE	
1.3 early releases and publications describing nature of consortium	
1.4 minutes, memos, progress reports, conference reports, consultants' reports, budgets and expenditure reports, correspondence	
1.5 statistical data on participating SEAs (resources, student demographic and achievement profiles)	
1.6 staff resumés	
1.7 Consortium Scope of Work documents and revisions	
1.8 state diffusion plans, including listing of LEAs considered targets for EWS diffusion	
1.9 drafts of EWS product	

	Tasks	Anticipated Completion Dates
1.10	reports of Consortium staff on successful and unsuccessful diffusion tactics, state by state	
1.11	Final Consortium Program Report to NIE	
2.	Conduct of interviews; administration of questionnaires	
2.1	Interview with NIE program officer	July 15*
2.2	Interview with Consortium Executive Director	July 15*
2.3	Interviews with Consortium Board of Directors	July 31*
2.4	Interviews with AEL staff involved in early Consortium planning and negotiating	August 15
2.5	Questionnaires to be completed by members of Consortium Task Force	August 15
2.6	Questionnaires to be completed by key personnel involved in EWS product development	August 15
2.7	Interviews with State Advocates	September 15
2.8	Interviews with Consortium Staff involved in product production and distribution, assisting and monitoring implementation, and gathering information for program report to NIE	September 30

*These dates are conditional on completion of forms clearance procedures prior to June 30.

	Tasks	Anticipated Completion Dates
2.9	Selection of sample of LEAs identified as targets for EWS diffusion; selection of samples of school personnel and parents in these LEAs for questionnaire distribution	September 15
2.10	Distribution of user system impact questionnaires to LEA samples of school personnel and parents	October 10
2.11	Return of questionnaires completed by school personnel and parents in LEA sample; follow-up for nonrespondents	October 31

		Tasks	Anticipated Completion Dates
IV	Data Processing		
	1.	Abstracting and categorization of relevant data from all gathered program documents	September 1
	2.	Abstracting and categorization of data from all interviews and questionnaires completed by August 15	September 15
	3.	Abstracting and categorization of data from interviews completed by September 30	October 15
	4.	Coding of questionnaires completed by personnel in sample of LEAs identified as targets for EWS diffusion	November 10

	Tasks	Anticipated Completion Dates
V	Data Analysis	
1.	Descriptive data	
1.1	Contextual factors	September 30
1.2	Institution building	September 30
1.3	Product development strategy	October 15
1.4	Product characteristics	October 15
1.5	Consortium diffusion strategy	October 15
1.6	State diffusion strategies	October 15
1.7	Implementation of Consortium diffusion strategy	October 31
1.8	Implementation of state diffusion strategies	October 31
1.9	Impact on R & D system	October 31
1.10	Consumer/user system characteristics	November 20
1.11	Impact: extent of diffusion to user systems	November 20
1.12	Impact: extent of impact on user systems	November 20
2.	Analysis of relationships among data elements	
2.1	Effect of contextual factors on institution building	September 30
2.2	All other relationships that do not involve data on implementation or impact of diffusion strategies (See Figure 1 and Attachment to Figure 1, relationships 2-5, 8-11, 14-17, 20-23, 26-29, 32-37, 64-68)	October 15

	Tasks	Anticipated Completion Dates
2.3	All relationships involving data on implementation of diffusion strategies (See Figure 1, relationships 6, 7, 12, 13, 18, 19, 24, 25, 30, 31, 36-49, 69-70)	October 31
2.4	All remaining relationships, involving impact and user characteristics (See Figure 1 and Attachment to Figure 1, relationships 50-63, 71, 72)	November 30

		Tasks	Anticipated Completion Dates
VI	Report Preparation		
	1.	General Introduction-first draft	
	1.1	Consortium program description	September 30
	1.2	ESA evaluation design and methodology	August 31
	1.3	Appendix: Bibliographic Work	August 31
	2.	Findings	
	2.1	Descriptive data on contextual factors, institution building, product development strategy, product characteristics, and consortium and state diffusion strategies	October 20
	2.2	Descriptive data on implementation of consortium and state diffusion strategies and impact on R & D system	November 5
	2.3	Descriptive data on consumer/user system characteristics and impact on diffusion to and practice in user system	November 26
	2.4	Relational data explaining degree of success in institution-building	October 20
	2.5	Relational data explaining nature of the product development strategy that evolved	October 20
	2.6	Relational data explaining nature of the product developed	October 20

	Tasks	Anticipated Completion Dates
2.7	Relational data explaining nature of the consortium diffusion strategy that was designed	October 20
2.8	Relational data explaining nature of the state diffusion strategies that were designed	October 20
2.9	Relational data explaining degree of effectiveness in implementation of consortium diffusion strategy	November 5
2.10	Relational data explaining degree of effectiveness in implementation of state diffusion strategies	November 5
2.11	Relational data explaining degree of impact on R & D system functioning	November 5
2.12	Relational data on extent of diffusion to user systems	November 26
2.13	Relational data on extent of impact on practices in user system	November 26
2.14	Data relating consumer/user system characteristics to product characteristics and diffusion strategy characteristics	November 26
3.	Conclusion/Implications	December 3
4.	General Introduction-revised draft	December 3
5.	Executive Summary	December 5
6.	Typing and printing	December 12
7.	Delivery to NIE and consortium staff and members	December 15-19

APPENDIX B

LETTER TO:
MR. ROB ROY WALTERS

Copy of letter written to Mr. Rob Roy Walters dated August 26, 1974:

"Dear Rob Roy:

Thank you for the invitiation. We learned much that hopefully will aid us in performing an effective job for NIE and at the same time, for the Consortium as well. I am equally grateful that we may together, the Consortium, NIE and ESA, have been able to reach a mutually satisfactory agreement.

ESA until now had intentionally maintained a neutral position in which we have sent staff to West Virginia for data and information gathering; we have read material requested and sent to us; we attended a prior meeting this year that was also held in Atlanta at Stouffers Inn. Our intent had been to understand and to wait until an acceptable written strategy had been approved by NIE so that we could adjust our evaluation model to most effectively and pragmatically fit your ultimate strategy. John Coulson made a wise chose in getting all of us together to help move everything forward in the most effective yet amicable way possible.

Three essential areas of agreement were reached, according to my perception: first, although we always perceived that the evaluation design was our responsibility, it is now clearly understood to be the case by all concerned; second, you representing the Consortium, will provide statements of intended program activities (outcomes). We, however, are assisting you in this regard by supplying example of what your final activities (outcome) list should look like. The example do not include those that relate to the area of "Consumer Receptivity -- Task Force relations -- How Task Forces are to be used in the strategy design -- Yet activity descriptions in this area were also agreed to by all concerned.

What we need is amplication of the specific contents of the activities stated or implied in the Time Line as well as some activities (outcomes) missing. Before beginning, it should be clearly understood that the mechanisms of evaluation will be determined by the evaluator, but clearly they will be based, to the degree appropriate and practical, on the statements and documents, including activities listing (outcomes) determined by the Consortium. Finally, it should be made clear that we are not evaluating MPEP, but many aspects of MPEP development and evaluation will have relevance for us. Therefore, it is important for us to receive regularly information coming out of MPEP development and evaluation, since this will help us to avoid overlapping with what is being done there. E.g.: "If your 'Projected Activities List' includes an item such as "Feedback from ECE Task Force concerning roles and activities of LEA's, to be summarized and supplied to evaluators, then we needn't duplicate that; and if we know when this is planned, we might be able to tack on something brief that is of mutual interest.

However, since we want to plan some pre as well as post data, it is important to us to have in advance some written statements about what you think the specific activities will include. I'm sure that there will be many revisions as you go along and find out what works and what doesn't. As you let us know about such revisions, we can then take them into account as we look at data we have already collected (e.g. pre data), and perhaps the periodic revisions will necessitate our collecting some new data so as to be able to evaluate variables that are important to you. As you inform us of changes in strategies or emphasis or direction, we will respond.

Revised Diffusion/Dissemination Plan submitted to NIE on July 20, 1974:

Consortium Diffusion Time Line, pp. 22-26

The list of projected activities below is to be regarded as suggestive; it is abstracted from or implied by the Time Line statement or by other recent discussions in Atlanta. All dates are recognized as tentative; it is assumed that the *sequence* of activities will remain generally as stated, probably with some additions. Since the process followed in these suggestions seems relatively straight forward, it has been carried here only through January, 1975; and it is not all inclusive. It is recognized also that the States will vary.

Suggested Examples of Projected Activities (or Outcomes)

5-21-74 Reactions secured from ECE Task Force to MPEP materials under development

Product: (?Supplied only to MPEP development staff?)

6-24-74 Time Table of MPEP development coordinated with Consortium dissemination activities.

Product: (?Time Line?)

7- 1-74 Criteria established for State Education Advocates (SEA) selection (includes mandatory and suggested criteria).

Product: (?Written statement of mandatory and suggested criteria, as established by . . .?)

7- 2-74 Initial list or existing communications channels in the (seven?) Consortium states.

Product: List: A. Periodicals

B. Radio and television

C. Regional and State meetings

D. Less formal, but important channels

E. Expected input or participation of the three (3) Task Forces

F. Input or interrelations with the ARC Project on the Handicapped

G. Input of MPEP development staff

(It is assumed that the initial list would be periodically revised and amplified during the year; that other useful interrelations than suggested above may be identified and developed; and that some of these will be relatively informal).

? All SEA's identified.

Product: List, with positions and addresses.

(A brief statement of backgrounds or areas of experience would be very helpful).

? Identification and Activation of (Some) Communication Channels.

Product: List of channels identified to date, plus tentative expected dates of activation.

This list of expected dates, like the previous one, would undoubtedly need periodic revision and updating; so there would be similar entries later in the Projected Activities List).

8-31-74 Preliminary Dissemination Report.

Product: The Report, which will cover: a.
b.
c.
-.

9- 1-74 List of communication channels "completed."

Product: List

? Product: List of Television outlets selected, with reasons for choices.

? Orientation and trains of SEA's.

Product: Statement of intended procedures and what their training will include (e.g., their role, how they will train LEA's, involvement with Task Forces, etc.: involvement in training Home Visitors, furnishing feedback, etc.). Several specific aspects of the SEA role are stated at various places in the Time Line.

? Criteria established for LEA's.

Product: (?Written statement, as for SEA's).

9-10-74
(or later) Identification of LEA's by Consortium Board and SEA's.

Product: List, with positions and addresses, for SEA's.

10-10-74
(or later) SEA's will identify and orient LEA's.

Product: (?Intended method and content).

10-10-74
(or later) SEA's will help plan for training of local programs personnel and scheduling of local television broadcasts.

Product: (?List of sites and personnel).
(?Intended method and content of training).

10-15-74 Product: Articles prepared for State Periodicals.
(?By whom?)

11- 4-74 Product: Consortium Internal Memorandum.

Contents to be included: --
--
--

11-10-74 Criteria established for demonstration sites by MPEP staff and SEA's, Task Force members, and Consortium staff.

Product: Statement of criteria.

(?List of tentative sites?)

11-30-74 Product: Outline of Implementation Report.
Contents to be included: --
--
--

12- 5-74 (& later) SEA's and LEA's will assist MPEP staff in training Home Visitors and program demonstration staffs.

Product: ??

12-10-74 Scheduling of broadcast time completed.

Product: The Schedule.

12-15-74 Feedback to MPEP development team from local program participants in Home Visitor training.

Product: (?Written statements from SEA's and LEA's).

(?List of local program participants).

1-15-75 Product: Published articles.

1-20-75 Television lessons reviewed by Task Force Members, SEA's and LEA's.

Product: (?Written feedback to MPEP development team).

1-31-75 Demonstration sites identified.

Product: (?List of sites, with reasons for their selection).

Please do not forget activities concerning "consumer receptivity." I believe the above meets your request of us and in accordance with our statement of intent, it has been done by Friday, August 30, 1974. We also expect that your response will be to NIE within the next week to ten days, but in any case prior to the upcoming meeting with SEA's. Hoping all things within a matter of days will be "go", we are waiting for your activity list (outcomes) so our design can be finally completed and evaluation commence. Upon completion, we will send a copy to you for your information.

Sincerely,

James W. Elsbery, Ph.D.
President."

APPENDIX C

TABLES

TABLE I

AMOUNT OF MONEY AND MANPOWER ALLOCATED FOR PRINTING AND DISSEMINATION OF E.W.S.

STATES	State planned to use some Fed. Resources	5% time devoted to these Acts.	10 days $18,000.00	70 Man days 17;500	$1,500.00	No Financial Resources
S. Carolina						
Tennessee					X	
Virginia						X
Pennsylvania						
N. Carolina	X	X				
Kentucky				X		
W. Virginia			X			
Alabama						

Contd/....

TABLE I

AMOUNT OF MONEY AND MANPOWER ALLOCATED FOR PRINTING AND DISSEMINATION OF E.W.S.

STATES	$1,100. for Initial Purchase	Unk.	Part time staff persons	$1,800.-$1,000.
S. Carolina	X		X	
Tennessee				
Virginia			X	
Pennsylvania		X		
N. Carolina				
Kentucky				
W. Virginia				
Alabama			15 support personnel	

TABLE II

MAN DAYS SPENT

ON EWS PROJECT

STATES	3 MD	10-12 MD	36 MD	50 MD
S. Carolina		X		
N. Carolina		X		
Pennsylvania	X			
Alabama			X	
W. Virginia		X		
Tennessee				
Kentucky				X
Virginia		X		
TOTAL:	3	44	36	50

TABLE III
THE KINDS OF RESPONSES RECEIVED FROM LEA HEADS REGARDING THE SIGNS

States	Excellent	Positive	Unk.
South Carolina			
Tennessee	X		
Virginia		X	
Pennsylvania			X
North Carolina		X	
Kentucky	X		
West Virginia			X
Alabama		X	

TABLE IV
NUMBERS OF ADDITIONAL BROCHURES REQUESTED

States	1	5-8	25-75 25%	Unk.
Alabama			25%	
West Virginia				X
Kentucky			25%	
North Carolina		5		
Pennsylvania				X
Virginia		8		
Tennessee			75%	
South Carolina	X			

TABLE V

COMMUNICATION CHANNELS GENERALLY USED BY STATE EDUCATION DEPARTMENTS

STATE	Mailings	Letters	Newsletters	Phone	Meetings	TV	Radio	Newspapers	Conf.
S. Carolina	X								
Virginia			X		X			X	
Alabama									
Tennessee		X	X		X				
Pennsylvania									
Kentucky		X	X	X		X	X	X	X
N. Carolina								X	
W. Virginia						X		X	

Contd/.....

TABLE V

COMMUNICATION CHANNELS GENERALLY USED BY STATE EDUCATION DEPARTMENTS

STATE	Work-Shops	LEA	Pedia. Office & Their State Agency	Utility Billing	Service Clubs	Prof. Orgs.	Dept. Public-ations	Parent Public-ations
S. Carolina		X						
Virginia		X						
Alabama		X				X		
Tennessee		X						
Pennsylvania		X						
Kentucky	X	X	X				X	
N. Carolina		X	X					X
W. Virginia		X						

TABLE VI
ESTABLISHED COMMUNICATION CHANNELS DISCUSSED

States	T.V.		Mags.	Radio	Brochures	Pedia. Offices	Drug Stores	Discount Stores	Service Clubs
	Educ.	Comm.							
South Carolina					X				
Tennessee		XS	XN	XS&L	XS&L				
Alabama		XS							
Virginia	XL,R & S	XS				XS	XS	XS	XL
Pennsylvania									
Kentucky									
North Carolina									
West Virginia	X	XS							

* R - Denotes Regional
S - Denotes State wide
L - Denotes Local
N - Denotes National

Contd/......

TABLE VI
ESTABLISHED COMMUNICATION CHANNELS DISCUSSED

States	LEA	*Constm. Plan Estab. Comm. Channels	N.A.	Conf.	Newspaper	State Dept. of Education Personnel	State Dept. of Education Buildings	Utility Bills
South Carolina	X			X				
Tennessee	XL				XS	X	X	
Alabama	XL				X			X
Virginia	XS				XL			XS
Pennsylvania			X					
Kentucky		With exception of posters						
North Carolina								
West Virginia	X				X		X	

* Consortium plan to establish communication channels

TABLE VII
CONSORTIUM SUGGESTED COMMUNICATION CHANNELS INCLUDED IN EACH STATE DIFFUSION PLANS

States	Newspapers	Brochures	T.V.	RADIO	SEA Per.	LEA Per.	Phones	Letters	Conf.
West Virginia	X	X	X	X	X	X	X	X	
Kentucky	X		X	X		X	X	X	X
North Carolina		X		X		X			
Pennsylvania		X				X			
Virginia		X							
Alabama	X	X	X	X		X			
Tennessee	X	X	X		X	X			
South Carolina		X				X			

Contd/.....

TABLE VII

CONSORTIUM SUGGESTED COMMUNICATION CHANNELS INCLUDED IN EACH STATE DIFFUSION PLANS

States	Workshop	Unable to respond	No comp. State Plan.	All	Dept. Newsletters & other Publications	Other Staff Agencies
West Virginia	X			X	X	X
Kentucky	X				X	X
North Carolina						
Pennsylvania		X				
Virginia			X			
Alabama						
Tennessee						
South Carolina						X

TABLE VIII
PERCENTAGE OF STATE'S DIFFUSION CAPABILITY TARGETED FOR SCHOOL DISTRICT LEVEL

STATE	Have No Idea	70%	85%	90-95%	99-100%	Don't Know
W. Virginia		X				
N. Carolina		X				
Kentucky				X		
Pennsylvania			X			
Tennessee				X		
Virginia						X
S. Carolina					X	
Alabama					X	

TABLE IX
ESTIMATED SIZE OF THE POPULATIONS OF PARENTS OF PRE-SCHOOL CHILDREN

STATES	300,000-400,000	500,000-1 million	1 million-3 millions
Alabama	X		
W. Virginia			
Kentucky	X		
N. Carolina			X
Pennsylvania			
Virginia	X		
Tennessee	X		X
S. Carolina		X	

TABLE X
TARGETED NUMBER OF PARENTS EXPECTED TO BE REACHED BY DISSEMINATION PLAN

STATES	14,500 Households	5,000	80,000	All	100,000
Alabama			X		
Tennessee				X	
Virginia	X				
Pennsylvania					
N. Carolina					X
Kentucky					X
W. Virginia				X	
Alabama					X

TABLE XI
NUMBER OF PRINTED BROCHURES ORDERED FOR DISTRIBUTION

State	5,000	10,000-25,000	100,000 & Above	None
South Carolina	X			
Tennessee		X		
Virginia		X		
Pennsylvania				X
North Carolina		X		
Kentucky			X	
West Virginia			X	
Alabama		X		

TABLE XII
NUMBER OF E.W.S. BROCHURES PRINTED IN EACH STATE FOR DISTRIBUTION

STATES	5,000 - 25,000	30,000- 75,000	35%	No more	N.A.	100,000- 200,000
Alabama	X					
W. Virginia						443,000 done already
Kentucky						X
N. Carolina	X					
Pennsylvania					X	
Virginia	X					
Tennessee		X				
S. Carolina	X					

TABLE XIII
MESSAGE PRINTED IN BLANK SPACE ON BROCHURE

STATE	Contact local Sch. District	Address for Add. Info.	None	Unk.
Alabama				
West Virginia				
Kentucky		X		
North Carolina	X	X		
Pennsylvania				X
Virginia				
Tennessee	X			
South Carolina	X			

TABLE XIV
WHICH PARENT ORGANIZATIONS WERE CONTACTED TO HELP DISSEMINATE "SIGNS"

States	Dept. of Ed. Div. of Instru.	TUA	Easter Seals	Dept. of Human Resources	App. Leadership & Outreach	Handicap Groups	Day Care Center	Req. Ed. Off.	PTA
Alabama	X					X			
West Virginia									
Kentucky	X	X	X	X	X	X	X	X	
North Carolina						X			X
Pennsylvania									
Virginia									
Tennessee									
South Carolina									

Contd/...

TABLE XIV(Contd.)
WHICH PARENT ORGANIZATIONS WERE CONTACTED TO HELP DISSEMINATE "SIGNS"

States	Red * Mission	Pub. Lib. Services	Prof. Org.	Soc. Sev. Agen.	LEA	Pedia.	ACLD	Teacher Tips	Student Organizations
Alabama		X	X						
West Virginia									
Kentucky	X							X	
North Carolina			X	X				X	
Pennsylvania									
Virginia							X		
Tennessee									
South Carolina									

TABLE XV
WHETHER OR NOT EACH STATE HAS A UNIT RESPONSIBLE FOR DIFFUSION EFFORTS

STATES	Spec. Ass't to State Div. Supt.	Info. Officer	Techs.	Mute Center	Curr. Lab.	Tit 3	Plans Eval. Off.	Yes	No	DK
Virginia	X	X	X					X		
W. Virginia		X						X		
S. Carolina									X	
N. Carolina		X						X		
Pennsylvania									X	
Alabama								X		
Kentucky				X	X	X		X		
Tennessee							X	X		

Contd.

TABLE XV
WHETHER OR NOT EACH STATE HAS A UNIT RESPONSIBLE FOR DIFFUSION EFFORTS

STATES	Exec. Div SDE	Div. of Diss.	Div. Pub.
Virginia			
W. Virginia			
S. Carolina			
N. Carolina			
Pennsylvania			
Alabama	X		
Kentucky		X	X
Tennessee			

TABLE XVI

DESCRIPTION OF STATE ORGANIZATIONAL PATTERNS, DIFFUSION CAPABILITIES AND FINANCIAL RESOURCES

	Organizational Patterns				Diffusion Capabilities			
States	Hierarchical SEA have contd.	Good	Other	Not Aware	Good	Excellent	Fair	Other
Alabama	X					X		
South Carolina								
Virginia	X						X	
Tennessee								
Pennsylvania	Not aware of Consortium Diffusion Plan							
Kentucky	Implementing a specialized diffusion network would have been a needless duplication.							
North Carolina		X						
West Virginia			X					

Contd/....

TABLE XVI (Contd.)
DESCRIPTION OF STATE ORGANIZATIONAL PATTERNS, DIFFUSION CAPABILITIES AND FINANCIAL RESOURCES

	Financial Resources			
States	Very Limited	Available upon request	Used B-EHA Funds	Require Add. Funds
Alabama		X		
South Carolina				
Virginia	X			
Tennessee			X	
Pennsylvania				
Kentucky				
North Carolina		X		
West Virginia				X

TABLE XVII
DIFFUSION PLAN DEVELOPED FOR DISSEMINATING THE EWS IN EACH STATE

Means by which State reached A.M. Audience

State	Broc.	Mags.	T.V.	Radio	Newspapers	Telephone	Meet-ings.	Mail-ings.
Kentucky	X		X	X	X			
Virginia	X		X				X	X
Pennsylvania	X							
W. Virginia	X	X	X				X	
Tennessee	X							
S. Carolina	X							X
N. Carolina	X	X	X				X	X
Alabama	X		X	X	X			

TABLE XVIII
SUBJECTS ON PERSONS REACHED

State	State Dept. of Ed.	Parents	Supt.	Prin.	Social Agencies	Special Ed Groups	LEA
Virginia	X		X				X
S. Carolina			X		X	X	X
N. Carolina	X	X	X		X	X	X
W. Virginia			X		X		X
Kentucky			X		X	X	X
Alabama							
Pennsylvania							

TABLE XIX
NUMBER OF LEA HEADS SENT COPIES OF THE "SIGNS"

States	1-100	100-200	Unk.
Alabama		X	
West Virginia			X
Kentucky		X	
North Carolina		X	
Pennsylvania			X
Virginia			X
Tennessee		X	
South Carolina			X

TABLE XX
THE KIND OF COVERAGE STATIONS AGREED TO PROVIDE.

STATES	NA	TV 100 SPOTS	RADIO 35 SPOTS	1 NO.	NK	JUNE -FEB.	AUG. -NOV.	FEB. 1- MAR. 31	NA
Virginia								X	
Kentucky		X	X				X		
W. Virginia						X			
Alabama						X			
Pennsylvania	X				X				
N. Carolina	X								
S. Carolina				X					
Tennessee	X								X

(______________________) (______________________________

23.4(a) 23.4(b)

Contd/.

TABLE XX (Contd.)
THE KIND OF COVERAGE STATIONS AGREED TO PROVIDE

STATES	N.K.	CON. TO STA.	VARIOUS	6.00 P.M. - 10.00 P.M.
Virgina	X			
Kentucky				X
W. Virginia	X			
Alabama			X	
Pennsylvania	X			
N. Carolina	X			
S. Carolina		X		
Tennessee	X			

(____)

23.4(c)

TABLE XXI

MESSAGE INSERTED IN LAST TEN SECONDS OF COMMERCIALS AND INFORMATION ON HOW TO GET EWS BROCHURE

State	Contact on Write a certain mess.	Contact your local sch. dist.	Unk.
South Carolina			X
Tennessee		X	
Virginia	X		
Pennsylvania			X
North Carolina	X		
Kentucky	X		
West Virginia	X		
Alabama			

TABLE XXII
MEDIA COVERAGE
AND E.S.A. FOLLOW UP

STATES	T.V. STATIONS	RADIO STATIONS	NA
Alabama	WSFA, WCOU, WKAB		
W. Virginia			X
Kentucky	KET Network	35	
N. Carolina			X
Pennsylvania			X
Virginia	WXEX, WTUR, WWBT, WAVY, WHRO, WTAR	WNNT, WRAR, WDDY, WYVA, WKWI, WBCI, WRUA, WRVQ, WRNL	
Tennessee			X
S. Carolina	13	122	

TABLE XXIII
PERSONS OR GROUPS INCLUDED IN THE TARGETED AUDIENCE FOR THE DIFFUSION PLAN

STATES	Adv. Grps.	Hum. Res. Ag.	Fed. Ag.	Col.	Univ. Per.	Org. Ser. Ex Child	Gen. Assn.	PDE Staff	Parents
N. Carolina		X	X	X	X	X			
Tennessee	X						X		
Pennsylvania								X	
Alabama									
W. Virginia	X								X
Kentucky									
Virginia									
S. Carolina									

Contd.

TABLE XXIII
PERSONS OR GROUPS INCLUDED IN THE TARGETED AUDIENCE FOR THE DIFFUSION PLAN

STATES	DK	NA	T.V. Mech.	NWP Mech.	Student Orgs.	Parent Orgs.	General Public
N. Carolina							
Tennessee		X					
Pennsylvania							
Alabama			X	X	X	X	
W. Virginia							
Kentucky							X
Virginia	X						
S. Carolina		X					

TABLE XXIV
DID EACH STATE CHANGE OR ADOPT THE GENERAL MESSAGE

STATES	Yes, Changed it slightly.	Unknown	Dev. Our Own
Alabama	X		
W. Virginia			X
Kentucky			X
N. Carolina	X		
Pennsylvania		X	
Virginia			X
Tennessee			X
S. Carolina		X	

APPENDIX D

QUESTIONNAIRES

Time Interview Began: __________

INTRODUCTION: As the director of the Appalachian laboratory since the beginning of the Consortium, and now as the executive director of the Consortium as well, you're in a unique position to provide us with information and insight into: the origins of the Consortium, and its initial and subsequent relationship to the laboratory. We'd appreciate whatever help you can provide us about these matters, and also about the functioning of the Consortium and the expected impact of the Early Warning Signs project.

1. I'd like to begin with some questions about the origins and history of the Consortium. We've been able to piece together only a sketchy idea of this from the program documents we have seen. Our understanding is that the Consortium was developed as part of a research project of the Appalachian laboratory, under USOE and then NIE contract. I'd appreciate it if you would tell me whatever you can about this initial research project.

PROBES: INTERVIEWER, BE CERTAIN TO OBTAIN THE FOLLOWING INFORMATION. ASK DIRECTLY ONLY IF RESPONDENT DOES NOT INCLUDE IN HIS ANSWER.

1.1 What was the research question under investigation in the initial project?

1.2 How long did the research project last, and what were the approximate dates that the project began and ended?

1.3 What were the research findings of this project? What was and was not accomplished during the research project phase of the Consortium?

1.4 In case we have some additional questions about the research project, who would you suggest we speak to? (GET NAME AND TELEPHONE NUMBER.)

1.5 Is there a written report describing the project and its findings? (IF YES: Would it be possible for us to get a copy of this report? INTERVIEWER: FOLLOW-UP ON THIS AT END OF INTERVIEW.)

2. What do you consider to be the mission or primary goals of the Consortium at this time?

3. What kinds of things has the Consortium been doing, since it was established, to make itself visible in the region and to provide itself with a clear identity?

4. Why do you think NIE is funding the Consortium's diffusion of the Early Warning Signs? What do you think NIE expects the Consortium to accomplish?

4.1 Do you think NIE will simply provide funds and read the Consortium's and evaluators' reports but play no more active role than that, or do you think NIE will actively try to influence the functioning of the Consortium?

5. The relationship between the laboratory and the Consortium has clearly been quite close. Would you outline for us the specifics of the relationship between the Consortium and the laboratory,

   - when the Consortium was first established, and

   - as it has evolved since then.

   PROBES: INTERVIEWER, BE CERTAIN TO OBTAIN THE FOLLOWING INFORMATION. ASK DIRECTLY ONLY IF RESPONDENT DOES NOT INCLUDE THIS INFORMATION IN HIS ANSWER.

   5.1 How were the goals of the two organizations related, initially and since?

   5.2 How were the programs of the two organizations related, initially and since. For instance:

   a) Which of the programs of the Consortium were related to programs developed or in some way supported by the laboratory? How were they related?

b) Which of the programs or projects of the Consortium have been completely unrelated to programs developed by the laboratory? IF ANY, ASK: As far as you know, what were the origins of this (these) projects?

5.3 How were the staffs and staffing arrangements of the two organizations related, initially and since then? For instance:

a) Have all members of the Consortium staff also been employees of the laboratory? (IF YES, ASK: How was their time divided between the two organizations? IF NO, ASK FOR DETAILS.)

b) In your roles as both director of the laboratory and director of the Consortium, how much of your time is devoted to the Consortium?

c) Is your salary paid entirely by the laboratory? (IF NO, ASK FOR DETAILS. IF YES, ASK: Why did the board of directors of the laboratory agree to this arrangement?)

d) Before you took over the role of executive director of the Consortium, was your predecessor a full-time or part-time director?

IF FULL-TIME, ASK: Was his salary paid for entirely out of Consortium funds?

IF PART-TIME, ASK: What other positions did he hold, as far as you know?

5.4 How were the physical facilities of the two organizations related, initially and since then? Do both organizations use laboratory facilities? are they housed in separate quarters? do they share space?

6. Do you think, to date, the Consortium has become an autonomou institution, independent of the laboratory, or do you think the Consortium is still an arm of the laboratory, dependent on it?

IF AUTONOMOUS, ASK: What evidence would you suggest we use to demonstrate that the Consortium has become a viable, autonomous institution?

IF DEPENDENT, ASK: What do you think has prevented the Consortium from establishing its autonomy, and what do you think is needed to make it a viable, independent institution?

7. When the Consortium was focusing its efforts on MPEP, it was concerned with aiding the development and diffusion of a program of the laboratory. When the Consortium was forced to shift its energies this year to EWS, the focus came to be on the development and diffusion of a Consortium program, relatively independent of the laboratory. Can you point to any evidence suggesting that this shift helped to establish the Consortium's autonomy?

8. Some of the early material about the Consortium suggested that it was expected to serve as a two-way communication channel between the R&D system (represented by the lab) and practitioners (represented by the state departments of education). Would you describe the kind of impact the Consortium was expected to have on:

   a) the R&D process of the laboratory, and

   b) the R&D products produced.

8.1 How did that work out in practice in the case of MPEP? What was the nature of the input and impact of the Consortium on MPEP? Were the R&D processes that were used any different from the processes that would have been used if there had been no Conosrtium? Was the MPEP prototype, as far as it was developed, any different in format or content than it would have been if there were no Consortium?

8.2 In the case of the Early Warning Signs project, the R&D processes and product appear to be very different from the MPEP type. Here the laboratory was not directly involved in product development, as far as we can tell. The developers are from the practitioners system (i.e., the state departments of education). The laboratory-type R&D process appears to be short-circuited -- there is no cycle of prototype development, field testing, evaluation, revision, field testing, etc.; instead the prototype is the final product. In the case of the Early Warning Signs project, then, how would you characterize the impact of the Consortium on R&D processes and product?

PROBES: We'd like to try out some ideas that have come to mind from thinking about this project in terms of our understanding of the R&D literature.

a) First, what would be your reaction to the statement that this type of product (i.e., a brochure) makes it irrelevant to think in R&D terms?

b) What would be your reaction to characterizing the Early Warning Signs project as a case of internal R&D, where developers are within the practitioner-user system?

c) What would be your reaction to the statement that the Early Warning Signs project is a good illustration of a form of R&D in which diffusion capabilities and user characteristics determine the nature of the product to be developed?

d) And how would you react to the statement that a significant part of the Consortium's contribution to the field of educational R&D is in demonstrating the manner in which state departments of education and regional consortia can function as diffusion mechanisms?

e) To what extent do you think the institution-building needs of the Consortium determined the product development strategy used in the case of the "Signs"? That is, having representatives of state departments of education working together and developing the "Signs" certainly cemented relationships among the state education departments and probably increased the commitment of the departments to the diffusion effort. If the Consortium had been a long-established institution, with a clear identity and considerable legitimacy and support, do you think the task force approach to developing the "Signs" would still have been used, as a preferred approach to produce development? or do you think the task would have been turned over to the staff or a consultant?

9. Whatever the nature and degree of impact the Consortium was expected to have on the R&D system, the expected impact of the Early Warning Signs on parents, school systems, and agencies that diagnose and treat handicapping conditions is probably more clearcut.

9.1 What do you think the Consortium should be able to achieve by this November -- how much impact, of what kinds do you think the "Signs" will have had by then, as demonstrated by what kinds of indicators?

PROBE FOR SPECIFICS:

a) How much and what kinds of impact do you think the "Signs" will have on the behavior of parents of preschool children?

b) How much and what kinds of impact do you think the "Signs" will have on agencies that diagnose and/or treat handicapping conditions in preschool children?

c) How much and what kinds of impact do you think the "Signs" will have on local school districts?

9.2 Given more funds and more time, what do you think the impact of this project could be -- how much impact, of what kinds?

9.3 How long do you think it would take for this potential impact to materialize?

9.4 How much do you think it would cost to bring about this potential impact?

10. Since we are interested in providing findings that will be *generalizable* to some extent to other interstate consortia, we are trying to gather information that will help us separate generalizable from regional explanations for the patterns we uncover. Certainly some of the demographic characteristics of Appalachia set it off from the rest of the country, at least when the profile is taken as a whole. But do you think the member state departments of education, individually or as a group, are in any way atypical?

    INTERVIEWER: USE QUESTIONS THAT FOLLOW AS PROBES, OR AS SEPARATE ITEMS, OR OMIT IF THE MATERIAL IS COVERED IN RESPONSE TO THE ABOVE.

    a) How do you think the member state departments of education and their school systems rate on *innovativeness* compared to most other states in the nation -- do you think, as a whole, they are *more* innovative, *less* innovative, or about *average*? (IF RESPONDENT HAS TO GIVE SEPARATE ANSWERS BY STATE, RECORD RESPONSE AS GIVEN.)

b) Is there wide variability among the member states, as far as you know, on innovativeness in education?

IF YES: Which of these states would you say are the most and least innovative?

Are you aware of any history or circumstances that would account for the relatively high degree of innovation in one or the other state, or the relatively low degree in some of the others?

c) How do you think the member state departments of education rate in terms of influence on their local school systems -- for instance, if a particular state department of education decided to promote adoption of a new educational program or practice, which of these states do you think would have the highest adoption rates, which do you think would have the lowest adoption rates?

d) Are you aware of any history or circumstances that would account for the relatively high degree of influence of some of the departments, or the relatively low influence of others?

e) Taken as a group, how do you think these member state departments of education compare in influence to most other state departments of education in the nation -- do you think, as a whole, they are more influential, less influential, or about average? (IF RESPONDENT HAS TO GIVE SEPARATE ANSWERS BY STATE, RECORD RESPONSE AS GIVEN.)

f) As far as you know, are any of the member state departments of education clear leaders in influence on each other?

IF YES, GET DETAILS AND ASK: Are you aware of any way in which this has affected Consortium decision making or operations?

11. Do you know of any previous attempts to develop consortia or any other cooperative ventures among state departments of education in this region, or others in the country, for purposes of enhancing diffusion resources, or for other purpose
IF YES, PROBE FOR DETAILS.

12. Considering the full program plans or potential of the Consortium and not just the Early Warning Signs project, what do you think the Consortium will accomplish over the next five years?

I'D LIKE TO THANK YOU FOR YOUR TIME AND ASSISTANCE. YOU'VE BEEN OF GREAT HELP.

Time Interview Ended: ____________

INTERVIEW WITH CONSORTIUM EXECUTIVE DIRECTOR
INCUMBENT UNTIL JULY 1975

1. This initial research project -- what was being studied, what was learned, and who might tell us more about it?

2. Were you part of this initial research project and what was your position at the time?

3. Summarize what the Consortium proposed to do under contract to NIE in its Scope of Work in 1973, in 1974, and in 1975. How much of this was accomplished?

4. Summarize what the most significant of other proposals were, and which ones did and did not get funding.

5. Would you outline for us the specifics of the relationship between the Consortium and the laboratory, when the Consortium was first established, and as it has evolved since then?

5.1 Were any of the Consortium's programs completely independent, in origins and in operations, from the work of the laborabory? If yes, which ones?

5.2 Do you think, to date, the Consortium has become an autonomous institution, independent of the laboratory, or do you think the Consortium is still an arm of the laboratory, dependent on it?

What do you think has prevented the Consortium from establishing its autonomy, and what do you think is needed to make it a viable, independent institution?

5.3 When the Consortium was forced to shift its energies to the "Signs," a Consortium program relatively independent of the laboratory, did this shift help to establish the Consortium's autonomy?

5.4 Can you point to any evidence suggesting that this shift helped to enhance the Consortium's legitimacy in the eyes of the member states?

5.5 Do you think the Consortium ever suffered from legitimacy problems, in the eyes of its member states?

5.6 Can you point to any evidence that the shift from MPEP, a laboratory program, to EWS, a Consortium program, simplified decision making, governance and Consortium staff functioning?

6.1 In practice, how was decision making authority divided between you as Director and the Board of Directors -- what kind of decisions were: (a) made only by the Board of Directors; (b) freely made by you on your own; and (c) shared?

6.2 What about the process of working with the Board of Directors made up of chief state school officers, what problems inevitably crop-up and how can they be best handled?

6.3 What makes working with a board of chief state school officers particularly satisfying?

6.4 Was this an easy or a difficult board to work with?

7. Do you think the member state departments of education are in any way atypical, individually or as a group?

7.1 How do you think member state departments of education and their school systems rate on innovativeness compared to most other states in the nation?

7.2 Is there wide variability among the member states, as far as you know, on innovativeness in education?

7.3 How do you think the member state departments of education rate in terms of influence on their local school systems -- which of the member states do you think would have the highest/lowest adoption rates of a new educational program or practice?

7.4 Are you aware of any history/circumstances that accounts for the relative high/low degree of influence in some states?

7.5 Taken as a group, how do you think these member state departments of education compare in influence to most other state departments of education in the nation?

7.6 Are any of the member state departments of education clearly leaders in influence on each other?

8. Do you know of any previous attempts at consortia or any other cooperative ventures among state departments of education in this region, or others in the country, for purposes of enhancing diffusion resources?

9. Would you describe the alternatives that were considered and the main reasons for the decision to use a pamphlet form for presenting the "Signs?"

9.2 What, if any, alternatives were considered in making this decision, and what were the main reasons for deciding on the task force approach?

9.3 In designing an overall Consortium diffusion strategy for disseminating the "Signs," what were the main reasons for deciding on use of "established communication channels" rather than some other alternative?

9.4 Why did you decide to rely heavily on TV and radio spots for disseminating information about the "Signs?"

10. What do you consider to be the mission or primary goals of the Consortium at this time?

11. What has the Consortium been doing to make itself visible in the region and to provide itself with a clear identity?

12. Why do you think NIE is funding the Consortium's diffusion of the EWS? What do you think NIE expects the Consortium to accomplish?

12.1 Do you think NIE will actively try to influence the functioning of the Consortium, as well as simply provide funds and read the Consortium's and evaluators' reports?

13. By what percentage do you think EWS should be able to reduce the number of children entering school with undiagnosed or untreated special needs?

13.1 How much and what kinds of impact do you think the "Signs" will have on the behavior of parents of pre-school children by November?

How much and what kinds of impact do you think the "Signs" will have on agencies that diagnose and/or treat handicapping conditions in pre-school children?

How much and what kinds of impact do you think the "Signs" will have on local school districts?

13.2 Given more funds and more time, what do you thin the impact of this project could be -- how much impact, of what kinds?

13.3 How long do you think it would take for this potential impact to materialize?

13.4 How much do you think it would cost to bring about this potential impact?

13.5 What do you think the Consortium will accomplish over the next five years?

CONSORTIUM EXECUTIVE DIRECTOR, INCUMBENT AFTER JUNE 1975
ALSO DIRECTOR OF APPALACHIAN LABORATORY

1. It is our understanding that the Consortium was developed as part of a research project of the Appalachian Laboratory, under USOE and then NIE contract. Please tell whatever you can about this initial research project.

1.1 What was the research question under investigation in the initial project?

1.2 How long did the research project last, and what were the approximate dates that the project began and ended?

1.3 What were the research findings of this project; and what was and was not accomplished during the research project phase of the Consortium?

1.4 In case we have some additional questions about the research project, who would you suggest we speak to? (Name and telephone number).

1.5 Is there a written report describing the project and its findings? (If yes, would it be possible for us to get a copy of this report)?

2. What do you consider to be the mission or primary goals of the Consortium at this time?

3. What kinds of things has the Consortium been doing, since it was established, to make itself more visible in the region and to provide itself with a clear identity?

4. Why do you think NIE is funding the Consortium's diffusion of the Early Warning Signs? What do you think NIE expects the Consortium to accomplish?

4.1 Do you think NIE will simply provide funds and read the Consortium's and the evaluators' reports, but play no more active role than that; or do you think NIE will actively try to influence the functioning of the Consortium?

5. Would you outline for us the specifics of the relationship between the Consortium and the laboratory, when the Consortium was first established, and as it has evolved since then?

5.1 How were the goals of the two organization related, initially and since?

5.2 How were the programs of the two organizations related, initially and since. For instance:

Which of the programs of the Consortium were related to programs developed or in some way supported by the laboratory? How were they related?

5.3 How were the staffs and staffing arrangements of the two organizations related, initially and since? For instance:

Have all members of the Consortium staff also been employees of the laboratory? (If yes, how was their time divided between the two organizations)?

In your roles as both director of the laboratory and director of the Consortium, how much of your time is devoted to the Consortium?

Is your salary paid entirely by the laboratory?

Before you took over the role of executive director of the Consortium, was your predecessor a full-time or part-time director?

5.4 How were the physical facilities of the two organizations related, initially and since then? Do both organizations use laboratory facilities? Are they housed in separate quarters? Do they share space?

6. Do you think, to date, the Consortium has become anautonomous institution, independent of the laboratory; or do you think the Consortium is still an arm of the laboratory, dependent on it?

7. When the Consortium was focusing its efforts on MPEP, it was concerned with aiding the development and diffusion of a program of the laboratory. When the Consortium was forced to shift its energies this year to EWS, the focus came to be on the development and diffusion of a Consortium program, relatively independent of the laboratory. Can you point to any evidence suggesting that this shift helped to establish the Consortium's autonomy?

8. Some of the early materials about the Consortium suggested that it was expected to serve as a two-way communication channel between the R&D system (represented by the laboratory), and practitioners (represented by the state departments of education). Would you describe the kind of impart the Consortium was expected to have on:

The R&D process of the laboratory.

The R&D products produced.

8.1 How did that work out in practice in the case of MPEP? What was the nature of the input and impact of the Consortium on MPEP? Were the R&D processes that were used, any different from the processes that would have been used if there had been no Consortium?

8.2 The R&D processes and project of the EWS project seem to be very different from the MPEP type. In the case of the Early Warning Signs project, then how would you characterize the impact of the Consortium on R&D processes and product?

What would your first reaction be to the statement that this type of product (i.e., a brochure) makes it irrelevant to think in R&D terms?

What would be your reaction to characterizing the Early Warning Signs project as a case of internal R&D, where developers are within the practitioner-user system?

What would be your reaction to the statement that the Early Warning Signs project is a good illustration of a form of R&D in which diffusion capabilities and user characteristics determine the nature of the product to be developed?

How would you react to the statement that a significant part of the Consortium's contribution to the field of educational R&D is in demonstrating the manner in which state departments of education and regional consortia can function as diffusion mechanisms?

To what extent do you think the institution-building needs of the Consortium determined the product development strategy used in the case of the Signs? If the Consortium had been a long-established institution, with a clear identity and considerable legitimacy and support, do you think the task force approach to developing "Signs" would still have been used, as a preferred approach to produce development; or do you think the task would have been turned over to the staff or a consultant?

9. Whatever the nature and degree of impact the Consortium was expected to have on the R&D system, The expected impact of the EWS on parents, school systems, and agencies that diagnose and treat handicapping conditions, is probably more clearcut.

9.1 What do you think the Consortium should be able to achieve by this November -- how much impact, of what kinds do you think the "Signs" will have had by then, as demonstrated by what kinds of indicators?

9.2 Given more funds and more time, what do you think the impact of this project could be -- how much impact, or what kinds?

9.3 How long do you think it would take for this potential impact to materialize?

9.4 How much do you think it would cost to bring about this potential impact?

10. Do you think the member state departments of education, individually or as a group, are in any way atypical?

How do you think the member state departments of education and their school systems rate on innovativeness compared to most other states in the nation?

Is there wide variability among the member states, as far as you know, on innovativeness in education?

If Yes: Which of these states would you say are the most innovative and least innovative?

How do you think the member state departments of education rate in terms of influence on their local school systems?

Are you aware of any history or circumstances that would account for the relatively high degree of influence of some of the departments, or the relatively low influence of others?

Taken as a group, how do you think these member state departments of education compare in influence to most other state departments of education in th nation?

As far as you know, are any of the member state departments of education clearly leaders in influence on each other?

If Yes: Are you aware of any way in which this has affected Consortium decision making or operations?

11. Do you know of any previous attempts to develop consortia or any other cooperative ventures among state departments of education in this region, or others in the country, for purposes of enhancing diffusion resources, or for other purposes?

12. What do you think the Consortium will accomplish over the next five years?

CHIEF STATE SCHOOL OFFICERS
MEMBERS OF CONSORTIUM BOARD OF DIRECTORS QUESTIONNAIRE

Question	# giving this answer	% giving this answer	# responding to this question
1. When were you first contacted about the Consortium, who contacted you, and what were you told the purposes of the Consortium would be?			
When first contacted:			
May 4, 1972			
April 24, 1974			
January 1975			
No Date			
Purposes:			
To increase cooperative interaction among SEAs, develop models for diffusion of research/development programs, emphasis on early childhood and special education			
To provide a vehicle through which SEAs could communicate with each other, promote common interests and exchange educational programs			
2. In the last 10 years, has your SDE joined with any of the other SDEs in the region in any other cooperative ventures?			
Yes			
Information not available			

		# giving this answer	% giving this answer	# responding to this question
2.1	What was its purpose?			
	Mid Atlantic Project Region III: Purpose: to retreive information for better schools			
	Title V, Section 505 Projects: Purpose: to develop interstate cooperation in the area of gifted and talented and to improve services to Public Education			
	Shared Accountability			
	Consortium of States for Educational Technology: Purpose: to share resources of member states for educational improvement			
	Eastern Education Network: Purpose: to get less expensive TV programs used in the schools			
2.2	Was what happened a success or failure?			
	Success			
	Both a success and a failure			
2.3	Why?			
	Lack of commitment, involvement, and staff time			
	Lack of funds			
3.	Why did your State Education Dept. decide to join the Consortium? What benefits did you see coming from participation?			
	Particularly concerned with the development of early childhood programs			

	# giving this answer	% giving this answer	# responding to this question
To exchange materials and ideas			
To benefit by getting ideas and financial assistance			
To get more effective input to the development of federal guidelines			
Don't know			
4. Were there any reasons your department considered that might have swayed your decisions against joining? Did you anticipate any problems or costs from participation?			
Don't know			
Yes			
Anticipated costs:			
State Funds			
Staff Time			
5.1 How much would you estimate participation in the Consortium cost your department to date, in man-days and in funds, since you joined the Consortium?			
Man-Days:			
1 - 100 Man-days			
100 - 200 Man-days			
Funds:			
$30,000 - $40,000			
$2,000			

	# giving this answer	% giving this answer	# responding to this question
5.2 How much would you estimate the development/diffusion of the Early Warning Signs has cost your SDE, in man-days and in funds, since February of this year?			
Man-Days:			
70 and above			
30 - 40			
1 - 10			
Funds:			
$17,500			
$2,500			
$1,000			
5.3 From what budget lines or program categories have you been able to derive these funds?			
Individual Travel			
Special Education, Personnel, Telephone, Supplies, Printing, Postage			
State Funds			
None yet			
6.1 What do you think are the strengths and weaknesses of interstate consortia in general?			
Strengths:			
Sharing information, resources, and ideas			
Economic and Political Strength			
Dissemination/Implementation of educational products			

	# giving this answer	% giving this answer	# responding to this question
Small but adequate staff			
Weaknesses:			
Lack of funds			
Limited Travel			
Lack of uniformity in State Departments of Education Organization			
Inconvenience to staff due to other jobs			
Hope it's not coming to an end			
6.2 What do you think the particular strengths and weaknesses of this Consortium are?			
Same as 6.1			
Strengths:			
Community Interest			
Commitment of Chief State School Officers and SEAs to work of the Consortium			
Production of useful products for dissemination			
7.1 Do you think that the Consortium has become an autonomous institution, independent of the Appalachian laboratory, or is the Consortium still an arm of the laboratory dependent on it?			
Autonomous			
Dependent			
Why do you think it is autonomous?			
It makes programmatic decisions and directs itself			

		# giving this answer	% giving this answer	# responding to this question
	The Chief State School Officers meet and identify the priorities			
	Board of Directors make decisions for Consortium efforts			
	Why do you think it is dependent?			
	Needs a constant, reliable financial source			
	Needs a paid, full-time staff, independent of AEL			
	Needs the right to make independent operational decisions			
	Needs a headquarters location independent of other agencies			
7.2	Can you point to any evidence suggesting that the shift from development/diffusion of a program of the laboratory to the development/diffusion of a program of the Consortium helped to establish the Consortium's autonomy?			
	Yes, the development and diffusion of the Signs helped in establishing the Consortium's autonomy			
	Not Really			
	The Consortium is autonomous whether it works on its own or some other's product			
7.3	Can you point to any evidence suggesting that this shift helped to enhance the Consortium's legitimacy in the eyes of member states?			
	Success with Signs helped			
	Closeness of member states grew during Signs			
	Consortium never tried to be legitimized			

		# giving this answer	% giving this answer	# responding to this question
	Program personnel gained knowledge from working on the Signs			
7.4	Did the member states ever seriously doubt the viability or ability to achieve goals of the Consortium?			
	Contact with AEL raised doubts			
	Viability doubted because of no funds			
	Yes, when the MPEP program didn't work			
	No			
8.	How is decision making authority divided among the Board of Directors, the Executive Director, and the Task Forces?			
	The Executive Director and Task Forces implement Board decisions			
	Chief State School Officers have ultimate authority			
	Task Forces make decisions in their areas of expertise - with Board approval			
	The Board of Directors advises the Executive Director			
	The Board of Directors implements Chief State School Officer decisions			
9.	What are the missions or primary goals of the Consortium at this time?			
	Same as those the Consortium started out with			
	Continue to work together for regional education improvement			

		# giving this answer	% giving this answer	# responding to this question
	Continued dissemination of EWS, efforts to start other common solutions and to secure funding			
10.	How would you evaluate the adequacy of funding available to support the Consortium's present program plans?			
	Very Adequate			
	Adequate			
	Very Inadequate			
11.	How would you evaluate the adequacy of staffing and state-supplied manpower available to carry out the Consortium's present program plans?			
	Very Adequate			
	Adequate			
	Inadequate			
12.	In terms of expertise and competence of available staff, how would you evaluate the staffing as a whole?			
	Very adequate			
	Adequate			
13.	Do you think the member state departments of education, individually or as a group, are in any way atypical?			
	No			
13.1	How do you think the member state departments of education and their school systems rate on innovativeness compared to most other states in the nation?			
	More Innovative			

	# giving this answer	% giving this answer	# responding to this question
Average Innovative			
13.2 Is there wide variability among member states on innovativeness?			
No			
Are you aware of any history or circumstances that would account for the high degree of innovation in some states, and the lower degree of innovation in others?			
No			
Innovation per state seems tied to the amount of discretionary money available and openness of the superintendent to new ideas			
13.3 Where would you place your state on a continuum of most to least innovative?			
My state would be at the top			
Everyone should be at the top			
No data for this			
Not applicable			
13.4 What are the most important factors that explain the degree of innovation that characterizes education in your state?			
Does your state department of education have any particular program or agency designed to stimulate dissemination and adoption of innovation?			
Yes			
Every state has someone assigned under Title programs			
Dissemination/Adoption key SEA role			

	# giving this answer	% giving this answer	# responding to this question
Dissemination of information, conducting meetings			
c) What percentage of local districts actually adopted and implemented these various innovations you promoted?			
30 - 89%			
High rate of adoption and implementation			
Data too limited			
13.6 How do the state departments of education in the Consortium rate in terms of influence on their local school districts?			
High			
13.7 Do you know of any history or circumstances that account for the high/low degree of influence of some departments?			
The viability of the funding source			
Depends on the organizational role and general focus of the state departments of education			
The smaller the state, the larger the influence			
No			
13.8 Where would you place your state on a continuum of those with most to least influence on their local school districts?			
Near the top in influence			

	# giving this answer	% giving this answer	# responding to this question
13.5 In the past 5 years, has your state department of education encouraged the adoption of any significant educational innovations by school districts in your state?			
Yes			
Not Applicable			
If yes, a) A few examples of some of these innovations:			
Year-Round School, Diagnostic Presence Math, Pollution Control, Reading, Classroom Management, Individualized Instruction			
Early Prevention for School Failure, Accountability, Primary and Vocational Reading, Meeting Modern Problems, Project "SUCCESS"			
Development of functioning Reading Program/Tests, Career Education, Metric System, Early Childhood, Environmental Education, Gifted and Talented, Comprehensive Health, Early Identification Programs			
Phase Elective - all subjects, Flexible Scheduling High School, Cooperative Accreditation, Educational T.V.			
Rescheduled School Year, Individualized Instruction			
b) What did your department do to encourage their adoption?			
Provided leadership			
Financial Backing, Personnel Resources, & Information Dissemination			

		# giving this answer	% giving this answer	# responding to this question
13.9	What are the most important factors that explain the degree of influence your department has on the local school districts in your state?			
	Strong leadership in the State Department of Education			
	The funding source			
	The smaller the state, the larger the influence			
	Not applicable			
13.10	How do you think these member state departments of education compare in influence to most other state departments of education in the nation?			
	More influential			
	Average			
	Not applicable			
14.	Do you think the Consortium will try to exert any undue influence on your state's educational policies or programs?			
	No			
15.1	Why do you think is NIE funding the Consortium's diffusion of the EWS? What do you think NIE expects the Consortium to accomplish?			
	NIE is not funding EWS diffusion efforts			
	The diffusion of R & D products			
	Determine effectiveness of a diffusion model			

		# giving this answer	% giving this answer	# responding to this question
15.2	Do you think NIE will simply provide funds and read the Consortium's and evaluator's reports, but play no more active a role than that, or will NIE actively try to influence the Consortium functions?			
	Don't know			
	NIE went along with the contract			
	Don't think so			
	NIE should play a more active role			
16.1	We would like more information about the rationale for presenting the EWS in pamphlet form. What alternatives were considered? What was the main reason for the decision to use a pamphlet form?			
	Development of Signs was handled by a task force -- the Board approved the product, didn't decide format			
	Brochures chosen because they're more permanent, attractive, easy to mail and inexpensive			
	The pamphlet was near completion when I joined, I don't know why it was chosen			
16.2	What were the primary considerations in deciding to have the pamphlet written by a task force of special education representatives rather than a single consultant? What alternatives were considered, and what were the main reasons for deciding on a task force?			
	A task force is the best use of competent people			
	Task forces work better			

	# giving this answer	% giving this answer	# responding to this question
16.3 In designing an overall Consortium strategy for disseminating "Signs," why were "established communication channels" used rather than some other form?			
Less expensive and time-consuming			
It was in accordance with Consortium design			
More effective and meaningful			
16.4 What were the main reasons for the heavy reliance on TV and radio spot announcements for disseminating "Signs"?			
Effectiveness			
Availability			
Inexpensiveness			
17.1 In your state, which agencies have responsibility for the preschool handicapped, and what is the responsibility of each of these agencies?			
Department of Education			
Department of Health			
Department of Human Services, Committee on Child Development, and on Children & Youth, Department of Mental & Public Health			
Department of Human Resources, & of Public Instruction			
Department of Security & Pensions			
17.2 What have these other agencies done to assist the dissemination of "Signs" and what has your department done to coordinate these efforts?			
We have discussed the brochure with other agencies, sent them sample brochures and information on how to get more and use them			

		# giving this answer	% giving this answer	# responding to this question
	Other agencies have been provided with brochures for distribution			
	Department of Human Resources has disseminated over 100,000 brochures			
	No other agencies have been incorporated as yet			
17.3	Please describe the level of available resources for diffusion, and the diffusion capabilities of this state.			
	Resources:			
	Normal diffusion and dissemination mechanisms			
	Fiscal and human resources			
	Divided among several administrative units in the Department of Education			
	A referral system			
	The Division of Public Information and Publications			
	Service Regions			
	Diffusion Capabilities:			
	Wide spread			
	If we had the money, the capability would be great			
	Undeveloped			
18.	A recent Consortium report stated that each member of the Consortium Board of Directors would be calling monthly meetings of Task Force members to review progress and plan future action. Have you held any?			
	Yes			

	# giving this answer	% giving this answer	# responding to this question
No			
If Yes: How often?			
1 - 3 times			
once per week			
as needed			
19. Would you summarize what has been done to date to implement your state's plan for diffusion of the Signs?			
Diffusion mechanisms and strategies have been developed and circulated			
Brochures have been circulated, a referral system set up			
EWS has been made available to all Special Education Services			
20.1 What does the expectation,"As a result of the implementation of this program, the number of children entering school with undiagnosed or untreated special needs will be reduced...", mean in quantitative terms? By what percentage should this be reached?			
Don't know			
20% in 2 years			
20.2 a) By November, how much/what kinds of impact do you think the "Signs" will have on the behavior of parents of preschool children?			
Don't know			
Positive			
Great			

	# giving this answer	% giving this answer	# responding to this question
b) How much/what kinds of impact will the "Signs" have on agencies that diagnose and/or treat handicapped preschool children?			
Don't know			
Will see more preschool children			
Other departments will gain interest			
c) How much/what kinds of impact will the Signs have on local school districts?			
A substantial improvement seen in 2-3 years			
More students with special needs will be enrolled			
Local schools districts will have most of the impact			
Don't know			
20.3 Given more funds and more time, what do you think the impact of this project could be?			
Nationwide, unlimited			
Broader concept of delivering EWS, more information to parents			
All children with special needs could be found			
20.4 How long do you think it would take for this potential impact to materialize?			
1 - 3 years			
4 - 5 years			

		# giving this answer	% giving this answer	# responding to this question
20.5	How much do you think it would cost to bring about this potential impact?			
	$50,000 per state			
	$500,000 over 3 years would allow nationwide dissemination			
	$80,000 per year			
20.6	What do you think the Consortium will accomplish over the next 5 years?			
	Potential is great, but depends on funding			
	Identifying common educational needs and seeing projects get started			
	Become a major disseminator of innovative programs			
	No way to predict			
20.7	What do you think your state will gain from its investment in the Consortium?			
	Pooled resources, programs and ideas			
	More effort and commitment to solving educational problems			
	More knowledge of what goes on in other states, and appreciation of needs			
	The feeling that we are not alone			

INTERVIEW WITH NIE PROGRAM OFFICER

1. I would appreciate it if you would tell me whatever you can about: (a) this initial research project, and (b) the relationship between the Consortium and the laboratory; (1) when the Consortium was first established, and (2) as it has evolved since then.

1.2 Under which programs/organizational units of NIE has the Consortium been funded since the Institute began operating?

1.3 What are the Institute's expectations for the Consortium?

1.4 What was specified in the Scope of Work and Scope of Work Revisions, in 1973, 1974, and 1975?

1.5 What were the main considerations in the Institute's decision to terminate funding of the MPEP program of the Consortium?

1.6 What were the primary considerations in NIE's decision to support funding of the production and dissemination of the Early Warning Signs?

1.7 On a scale of 1 - 10, with 1 as the highest priority, would you say the Institute gives to supporting the development of the consortia or other cooperative efforts of state educational agencies?

How high a priority would you say NIE gives supporting diffusion activities?

How, if at all, as you see it, is support of this program related to NIE's overall goals and priorities?

2. Do you think the member state departments of education, individually or as a group, are in any way atypical?

How do you think member state departments of education and their school systems rate on innovativeness compared to most other states in the nation?

Is there wide variability among the member states as far as you know, on innovativeness in education?

Which of these states would you say are the most and least innovative?

Are you aware of any history/circumstances that accounts for the relative high/low degree of innovation in some states?

How do you think the member state departments of education rate in terms of influence on their local school systems -- which of the member states do you think would have the highest/lowest adoption rates of a new educational program or practice?

Are you aware of any history/circumstances that accounts for the relative high/low degree of influence in some states?

Taken as a group, how do you think these member state departments of education compare in influence to most other state departments of education in the nation?

Are any of the member state departments of education clearly leaders in influence on each other?

3. Do you know of any previous attempts at consortia or any other cooperative ventures among state departments of education in this region, or others in the country, for purposes of enhancing diffusion resources?

4. Clearly, things have not worked out as the planners hoped, and resources have been limited. True or false?

4.1 What do you think accounts for the fund-raising problems encountered -- the limited funds available, weaknesses in the plans, or the ways they were promoted; or is the critical point something we have missed entirely?

4.2 What do you think the Consortium should be able to achieve by this November -- how much impact, and of what kinds?

4.3 Do you think the Consortium will achieve about as much as you expected - more than you expected - or less?

4.4 Do you think the Consortium staff and staffing arrangements are adequate to their task?

What do you think are the most significant strengths and weaknesses of the staff and staffing arrangements?

5. What do you think are the most significant strengths and weaknesses of the relationship between the Appalachian laboratory and the Consortium?

5.1 Signs Brochure: Did the Institute anticipate that a better product would be produced by the involvement of representatives of the various member state departments of education; or was the prime consideration the expectation that involvement in the development process would increase state education department commitment to diffusion of the Signs?

5.2 Does the Institute think of this project as one in which product developers and product diffusers are the two sets of personnelin SDE's with the Consortium as a catalyst and facilitator?

5.3 To what extent was NIE's decision to fund the Consortium as a diffusion mechanism based on the premise of the knowledge base, and the thinking about diffusion already underway on Rob Roy Walter's staff?

5.4 The AEL's extensive diffusion strategy guide approach was not used extensively in the diffusion of Signs. Are we wrong, or is this full-blown approach unnecessary to produce only a pamphlet; or do you think more of this approach should have been used?

5.5 Would you consider the EWS an example of an internal R&D product, with the state education departments as the relevant part of the user system doing the R&D work?

Would you characterize the screening of existing diagnostic instruments that preceded the writing of the Signs, as "knowledge generated" or "researched?"

To what extent was NIE interested in using this project to test out the amount of impact state departments of education could have in bridging the research to practice gap, as a possible basis for future programs to strenghten the roles of state agencies?

Consortia are viewed as way of multiplying available resources for a given project, by making use of existing resources that simply need to be organized and mobilized for given purposes. To what extent has this kind of thinking about consortia been voiced in the Institute?

Is the Institute supporting any other interstate consortia that you know of?

To what extent would you say that NIE's interest in this project is partly to test out the potential impact of Consortium arrangements?

STATE ADVOCATES QUESTIONNAIRE

QUESTION	# giving this answer	% giving this answer	# responding to this question
1. Our understanding of the organization of this project is that the state advocates share most of the responsibility for the design and implementation of diffusion strategies within their own states. Is that essentially correct?			
Yes			
Not aware of such responsibility			
2. Describe the diffusion capability status of your state department of education?			
severly limited			
No mechanism of delivering messages other than notices			
No comment			
From SDE to District Teams to Superintendents of LEAs			
2.1 What communication channels are generally used by your state dept. of education id diffusing information or programs?			
Letters, newsletters, and phone			
Meetings			
TV and radio programs, newspaper articles			
Conferences, workshops			
No systematic channels			
2.2 What percent of your diffusion capability would you say is targeted at school district level?			
Have no idea			

70%

85%

90%

2.3 If not close to 100%, ask: who else other than school district personnel is included in the target audience for your diffusion efforts?

Advisory groups, Human Resource Agency, Federal and State Agencies

Others concerned with education, College, University personnel and organizations serving exceptional children

General assembly

PDE staff, parents

Do not know

2.4 Does your SDE have a formal organizational unit charged with responsibility for diffusion efforts?

Special Asst. to State/Division Supt. of Public instruction, and information officers and technicians

Materials center, curriculum lab

Title III, planning & evaluation office

Do not know

2.5 What is your position in the SDE? Which part of the dept. do you work in, what are your responsibilities?

Chief of Curriculum Services for the handicapped...spend most time working with SDE District personnel

Not employed by SDE...work at
RISE 100% of time

Executive Asst. for Special Instructional Services...30-35% diffusion

Coordinator, Section for Physically Handicapped Children...10% diffusion

Learning Resource System Coordinator ...10-15% diffusion

3. How would you describe the organizational patterns, diffusion capabilitie and financial resources in your state that affected your state's adoption of the overall Consortium diffusion plan?

Organizational Patterns:

Hierarchical-SEA has control

Good

Other(implementing a needless duplicating effort)

Not aware of such a plan

Diffusion Capabilities:

None used extensively

Financial Resources:

Very limited

Available upon request

Used B-EHA funds

4. Would you describe the diffusion plan that has been developed for disseminating the EWS in your state?

Brochures sent to parents, service organizations, TV stations

Radio, TV programs, Newspapers

Questionnaires distributed to local superintendents and state superintendents

LEAs and Division of Special Education staff meetings

Contact with other agencies

No such plan is developed

5. Is there a written description of this plan that we could read?

Yes

No

An attempt will be made to secure one

Don't know

6. What are some of these "established communication" channels that were discussed and, for each one, whether the channel discussed was on the local, state, regional or national level.

Educational TV (local, state, regional), Commercial TV (state), Magazines (national), Radio (state, local), and Brochures (state and local).

Statewide Pediatricians' offices and drug/grocery stores

Superintendents of LEAs, LEAs (statewide)

Consortium plan established communication channels

Not aware of any

7. Which of these established communication channels that were discussed at that meeting were included in your state diffusion plan?

Newspapers, brochures, TV, radio, newsletters

SEA and LEA personnel

Telephone and letters

Conferences and workshops

Unable to respond

No comprehensive state plan

8. What were the reasons for selecting these particular communication channels rather than others?

Convenience

Unknown

Did not select these

9. Tell us some of these resource sources that were discussed?

SDE, Educational TV personnel, PTA, Professional organizations, Local school faculty meetings, Regional coordinators of Special Education

Educational and Commercial TV, Church bulletins and newspapers

Funds from: MELRC, Part B-EHA, State and Local

Unable to respond

Child health clinics, Doctor's Offices, Grocery/drug stores

Utilities Companies

Utility Billing (Mailing)

10. Which of these resource sources have you included in your state diffusion strategy?

Special Education staff SDE, Regional Coordinator of Sp. Ed. and Educational TV personnel

Unknown

Utilized most of common communication channels

Part B - EHA funds

11. What were the reasons for selecting these particular resources in your strategy rather than other possible sources?

    Availability of these were greater

    Unknown

    Conventional practice

12. Which barriers were discussed, and what strategies or tactics were considered to overcome these barriers?

    Lack of financial backing, motivation, and available staff

    Unknown

    No answer

13. Which of these strategies were included in your state's plan, to overcome which particular barriers to effective dissemination?

    Unable to respond

    Identification of funds

    No plan

    No answer

14. What made those barriers to effective dissemination seem particularly important in your state, and particularly in need of overcoming with those strategies or tactics rather than others?

    Lack of appropriate fiscal resources

    Unknown

    No answer

15. What inter-agency or inter-group cooperation is required by your state's plan?

    Between units of the Dept. of Education, also with Dept. of Human Resources

    Educational TV bureau, School District Bureau

    Unknown

    None

16. How is responsibility divided among the different agencies or groups and what mechanisms or procedures provided for coordinating their efforts?

    Coordination by: Div. for Exceptional Children, Dept. of Education, and State Advocates

    Newspaper, Educational TV tapes, Special Education brochures

    Unknown

    No plan

17.1 Did you receive, by July 1, sample copies of the EWS brochure?

    Yes

17.2 By July 1, did you receive name, address and price information for the source obtained by the consortium to provide bulk printing of the EWS brochure?

    Yes

17.3 By July 1, did you receive two sample copies of 30-second TV spot announcements and 2 sample copies of 30-second radio announcements to promote diffusion of the EWS brochure?

    Yes

18. How large a budget and how much manpower has your state dept. of education allocated to the printing and dissemination of EWS?

State planned to use some of its federal resources

5% time devoted to these activities

70 man-days, $17,500

Approximately $1,500,000

No financial resource for this

Unknown

18.1 How much of your time this year has been spent on this project?

10 - 20 man-days

50 man-days

3 man-days

19. Did the entire state budget for this project come out of the regular state Dept. of Ed. budget, or was it supplemented with additional money from out side public or private means?

Regular Department budget

Supplemented with outside public sources

Unknown

19.1 From what categories or budget lines in the Dept.'s budget did you get the funds needed for this project?

Various line items

Unknown

Bureau of Instruction Budget

Educational TV budget

Part B - EHA funds

19.2 How much outside money was raised for this project, from what sources?

None

$1,150 (MELRS fund)

Unknown

Local special ed. advisory boards/commitees

$1,050 Title VI money

20. How many copies of the printed brochure did you order for distribution in your state?

10,000 - 25,000

100,000 and above

21. What was printed by your state in the blank space provided for this on the brochure?

Contact Your Local School District

Address for Additional Information

None

Unknown

22. What did your state do with the sample tapes of radio and TV spot announcements provided by the Consortium?

No answer

Utilized over 13 TV stations

Used in Child Find Program

Unknown

22.1 Did you adapt or change the general message in any way?

Yes, changed it slightly

Unknown

22.2 What messages did you insert in the last 10-second segment? What was the viewer told about how to get the EWS brochure?

Contact or Write a certain address

Contact your local school district

Unknown

23. Have tapes for TV spot announcements and scripts for radio announcements been delivered to radio and TV stations in your state?

Not at this time

Yes

Yes to radio stations, Not to TV

Unknown

23.1 Which TV and radio stations?
23.2

19 TV stations (incl. KET network, WXEX, WTVR, WWBT, WAVY, WHRO, WTAR

45 radio stations (incl. WNNT, WRAR, WDDY, WYUA, WKWI, WBCI, WMBG, WRUA, WRUQ, WRNL and 35 others)

No answer

23.3 Approximately when were the tapes and scripts delivered?

June through November

February - March 1976

No answer

23.4 What kind of coverage did the station managers of each of these stations agree to provide?

a. Not known (limited)

No answer

TV - 100 spots; radio - 35 spots

23.4 b. Not known

No answer

August-November spots

c. Not known

No answer

6:00 PM and 10:00 pm

23.5 What kind of coverage has been provided by each station?

a. Information not available

No answer

b. Information not available

No answer

c. Information not available

No answer

24. How many heads of LEAs were sent copies of the "Signs"?

1 - 100

100 - 200

Unknown

25. What kind of response did you receive from them?

Excellent

Positive

Unknown

25.1 How many of them requested additional copies of the brochure?

5 - 8

25 - 75

Unknown

25.2 As far as you know, how many copies were ordered by each of these responding districts?

10,000 - 10,500

Unknown

2,000

26. List of Administrative heads of LEAs and parents names will be supplied on separate list.

27. Which state and local parent organizations working with the handicapped have you contacted to ask for help in disseminating the "Signs"?

Dept. of Education
TVA
Easter Seal
Dept. Of Human Resources
Appalachian Leadership and Outreach
Friends of the Handicapped
Day Care Center
Regional Education Offices
Bed Bird Mission

None

LEAs, and Pediatricians

Unknown

Local Chapter of ACLD in pilot program

28. What kind of response did you get from each?

Very Positive

Unknown

29. Were copies of the brochure and background information sent to editors of state newspapers and periodicals, with requests that they print and publicize them?

No

Yes

No answer

29.1 How many newspapers or periodicals?

No answer

300

4 weeklies, 1 daily

29.2 Which ones?

No answer

Every newspaper in the state, plus out-of-state papers with circulation in the state

29.3 Do you have any information about the size and geographical scope of the circulation of each?

No answer

No

29.4 Which of these have printed articles about the "Signs"?

No answer

None as yet

29.5 Which of these have reprinted the "Signs"?

No answer

None as yet

29.6 Have any of these newspapers or periodicals printed information about the Signs in more than one issue?

No answer

None

30. What have (name other agencies or groups) been doing to implement their part of the state's diffusion plan, and how many copies of the "Signs" have they distributed?

    No answer

    Department of Health Resources

    Local Health Departments

    Social Service Offices

    Mental Health Clinics

30.1 How well have the procedures for coordinating the efforts of the different agencies been working -- has the degree of cooperation been excellent, adequate, or poor?

    Excellent

    Adequate

    No answer

31. Have you made use of any communication channels or resource sources other than those already discussed -- that in TV and radio announcements, etc.

    Yes

    No

    No answer

32. May we have a copy of your logs, and an update of it when the project ends on October 31?

    No log kept

    No answer

    See attachment (David Mills)

33. What would you estimate to be the size of the population of parents of preschool children in your state?

    300,000 - 400,000

1,000,000 - 3,000,000

No answer

34. How many parents do you expect to reach through your dissemination plan?

14,500 households

No answer

How many copies of the EWS brochure will be printed for distribution in your state?

25,000

No answer

APPENDIX E

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